



**ROCIS How-To Guide for Agency Users
of the Executive Order Regulatory
Review Module
(EO Reg Review)**

September 8, 2017

Regulatory Information Service Center
(RISC)

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1. HOW TO Log Into ROCIS

If you are logging into the system, please point your browser to www.rocis.gov

Read and click the acknowledgement button on the For Official Use Only Warning Screen.

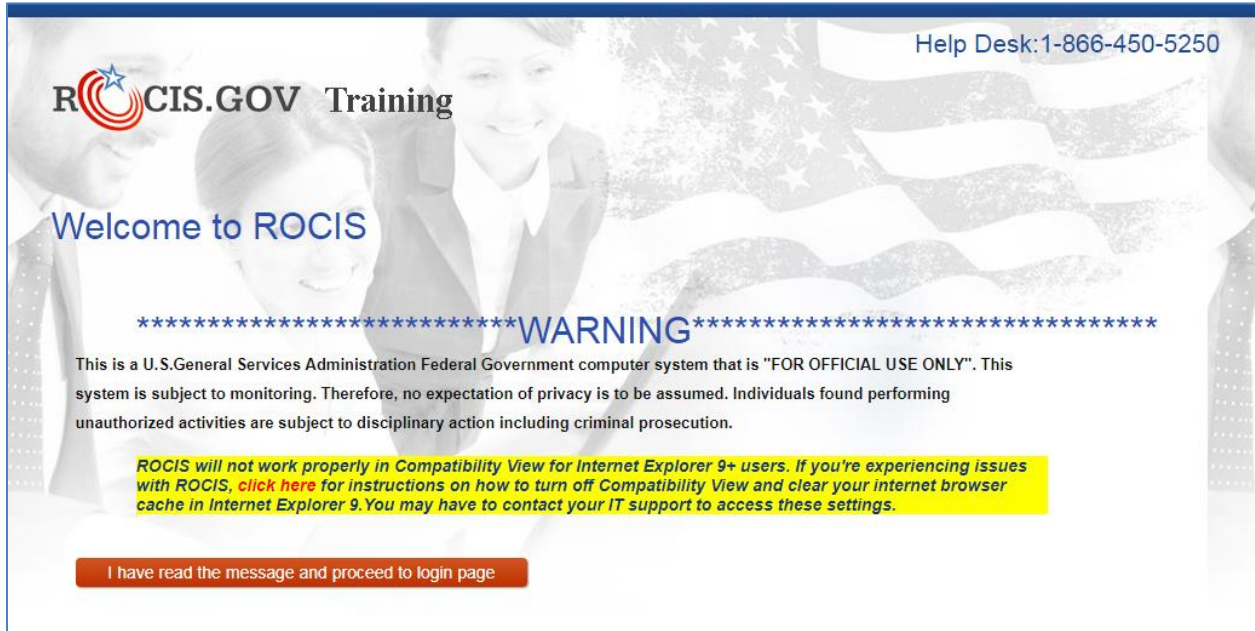


Figure 1.1: For Official Use Only Warning Screen

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Enter your User ID (normally, your first initial and last name) and password and click the Login button.

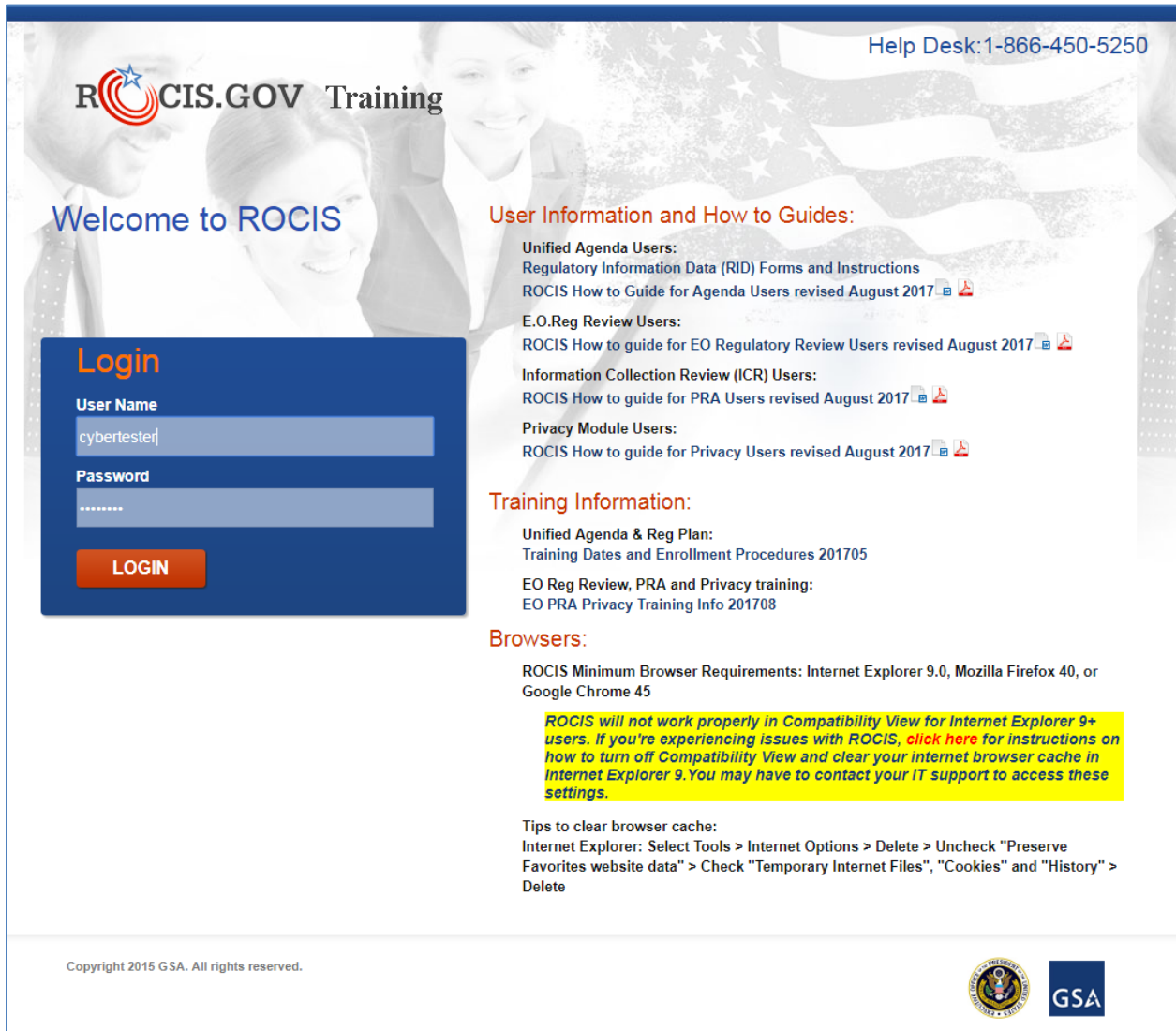
The image shows the ROCIS login screen. At the top right, it says "Help Desk: 1-866-450-5250". The main header features the "ROCIS.GOV Training" logo and a "Welcome to ROCIS" message. On the left, there is a "Login" box with fields for "User Name" (containing "cybertester") and "Password" (masked with dots), and a "LOGIN" button. To the right of the login box, there are sections for "User Information and How to Guides:" listing links for Unified Agenda Users, E.O. Reg Review Users, Information Collection Review (ICR) Users, and Privacy Module Users. Below this is "Training Information:" with links for Unified Agenda & Reg Plan and EO Reg Review, PRA and Privacy training. Further down is a "Browsers:" section with browser requirements and a yellow warning box about Internet Explorer 9+ compatibility. At the bottom, there are "Tips to clear browser cache:" for Internet Explorer. The footer includes "Copyright 2015 GSA. All rights reserved." and logos for the Department of Justice and GSA.

Figure 1.2: Login Screen

ROCIS requires a second layer of authentication, in addition to your user name and password. After logging in with your user name and password, ROCIS will ask you to enter the MFA token to gain access.

The MFA token is a 6-character code generated at login and emailed to the user's email address in ROCIS. The MFA token must be entered into ROCIS within 10 minutes, starting from when your user name and password were authenticated.

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Validated tokens are good for 12-hours. You will only need your user name and password to gain access during the 12-hour period after the MFA token is validated.

Help Desk: 1-866-450-5250

ROCIS.GOV Training

ROCIS Multi-Factor Authentication

Please check your email for the system generated MFA Token and enter here. The token will expire in 10 minutes. Before the token expires, you have 5 chances to enter the correct token.

If you have not received the email from ROCIS, please contact RISC management (risc@gsa.gov). If Multi-Factor Authentication fails, you will be re-directed to the ROCIS Login page and try again.

Enter MFA Token

Email: charmwell.ho@cyberdatainc.com

User Name: cybertester

MFA Token

SUBMIT

User Information and How to Guides:

Unified Agenda Users:
[Regulatory Information Data \(RID\) Forms and Instructions](#)
[ROCIS How to Guide for Agenda Users revised September 2015](#)

E.O.Reg Review Users:
[ROCIS How to guide for EO Regulatory Review Users revised August 2013](#)

Information Collection Review (ICR) Users:
[ROCIS How to guide for PRA Users revised August 2013](#)

Privacy Module Users:
[ROCIS How to guide for Privacy Users revised December 2015](#)

Training Information:

Unified Agenda & Reg Plan:
Training dates and Enrollment procedures

EO Reg Review, PRA and Privacy training:
[EO PRA Privacy Training Info 201601](#)

Browsers:

ROCIS Minimum Browser Requirements: Internet Explorer 9.0, Mozilla Firefox 40, or Google Chrome 45

ROCIS will not work properly in Compatibility View for Internet Explorer 9+ users. If you're experiencing issues with ROCIS, [click here](#) for instructions on how to turn off Compatibility View and clear your internet browser cache in Internet Explorer 9. You may have to contact your IT support to access these settings.

Tips to clear browser cache:
Internet Explorer: Select Tools > Internet Options > Delete > Uncheck "Preserve Favorites website data" > Check "Temporary Internet Files", "Cookies" and "History" > Delete

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Figure 1.3: Multi-Factor Authentication Screen

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Regulatory Information Service Center (RISC)

EO Reg Review processing is part of the Agenda/Regs module of ROCIS. You may be taken directly into the module or to a screen requesting you to choose between two or more of the ROCIS modules, depending on your ROCIS privileges. Please select 'Agenda/Regs' to use the EO Reg Review facility.

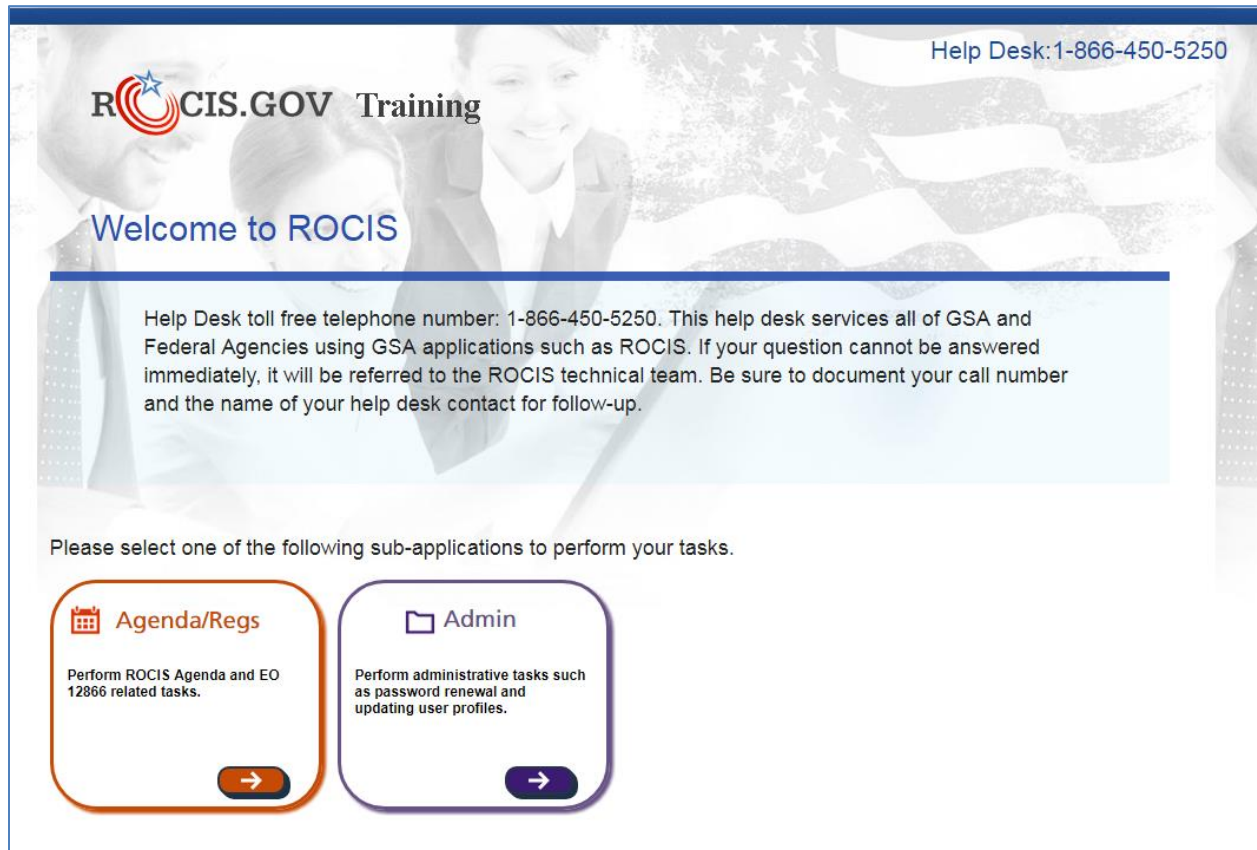


Figure 1.3: ROCIS Broadcast Message Screen

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Your initial screen is ‘Unsubmitted EO Packages’.

Criteria: Status=(Created, Unsubmitted);

Date Created	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
03/08/2011	3046-AA85	3046 EEOC	Regulations To Implement the Equal Employment Provisions of the Americans With Disabilities Act Amendments Act	Final Rule No Material Change Stage	ECONOMICALLY SIGNIFICANT	CREATED	03/08/2011
07/15/2011	3046-AA87	3046 EEOC	Reasonable Factors Other Than Age Under the Age Discrimination in Employment Act			CREATED	07/15/2011
02/16/2012	3046-AA76	3046 EEOC	Disparate Impact and Reasonable Factors Other Than Age Under the Age Discrimination in Employment Act	Final Rule No Material Change Stage		CREATED	02/16/2012

Showing 1 to 3 of 3 entries

First Previous 1 Next Last

List shows all pending EO review packages (No Time Limit).

Figure 1.4: Unsubmitted EO Packages Screen

You will be able to navigate throughout the EO Reg Review module via tabs which will be discussed in more detail later in this manual.

2. HOW TO Change Your Password

Whenever your password is set to rocis123 or your password has expired, the system will force you to change your password when you log in. On this 'Change Password' screen, you will need to enter your new password twice. Be sure that your new password conforms to all of the rules given for password formation. Click the 'Change Password' button. You will receive a confirmation message from the system indicating that your password has been changed.

Help Desk: 1-866-450-5250

ROCIS.GOV UAT

Change Password

Mandatory fields marked *

New Password : *

Confirm New Password : *

Password Strength : Password not entered

[SAVE](#) [CANCEL](#)

*Password length should be between 8 and 14 characters. Password must contain at least one alphabetic, one numeric and one special character.

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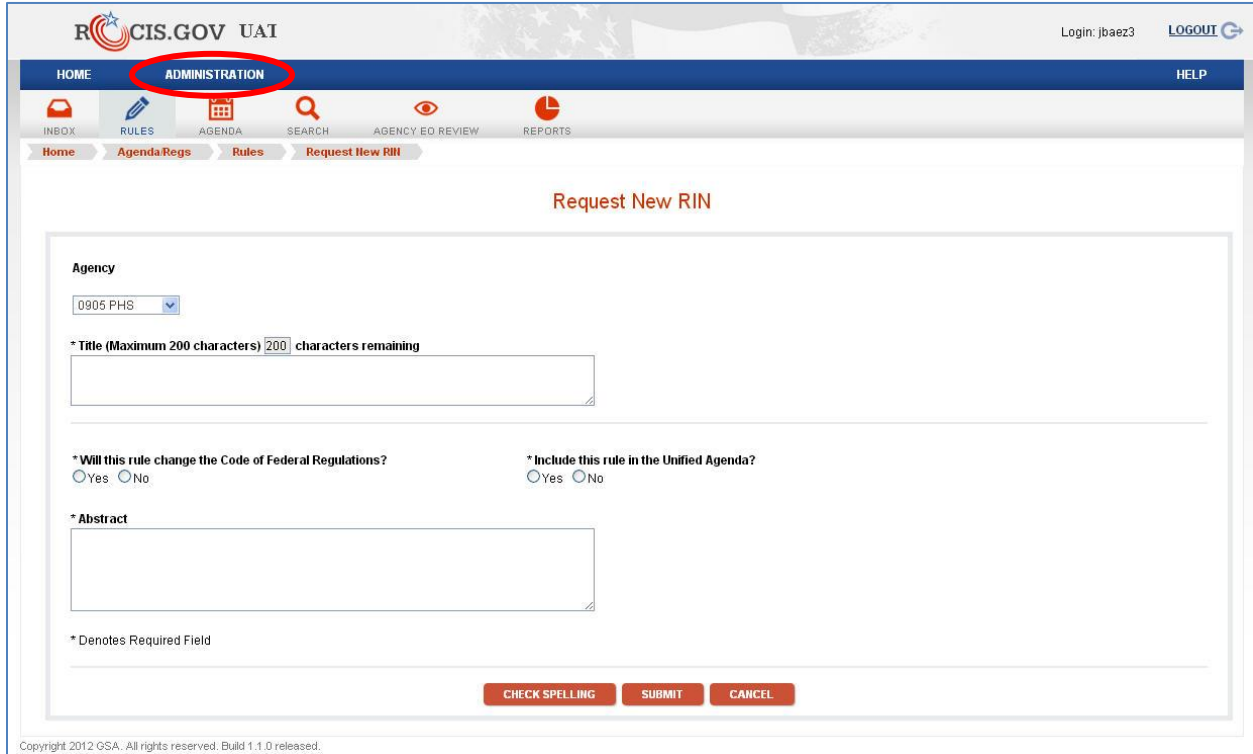
 GSA

Figure 2.1: Change Password Screen for New Account

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Your ROCIS password is good for 90 days; then, it will need to be reset. About two weeks before the password expires, ROCIS will give you a warning whenever you log in that your password is expiring in XX days.

To change your password, choose 'Admin' from the tab row:



The screenshot displays the ROCIS UAT (User Access Tool) interface. At the top, the header includes the ROCIS.GOV UAT logo and a login status for 'jbaez3' with a 'LOGOUT' link. Below the header is a navigation bar with tabs: HOME, ADMINISTRATION (highlighted with a red circle), and HELP. Underneath the navigation bar is a row of icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. A secondary row of tabs shows 'Home', 'AgendaRegs', 'Rules', and 'Request New RIN'. The main content area is titled 'Request New RIN' and contains a form with the following fields:

- Agency:** A dropdown menu currently showing '0905 PHS'.
- * Title (Maximum 200 characters):** A text input field with a character count of '200 characters remaining'.
- * Will this rule change the Code of Federal Regulations?** Radio buttons for 'Yes' and 'No'.
- * Include this rule in the Unified Agenda?** Radio buttons for 'Yes' and 'No'.
- * Abstract:** A large text input field.

At the bottom of the form, there is a note: '* Denotes Required Field'. Below the form are three buttons: 'CHECK SPELLING', 'SUBMIT', and 'CANCEL'. The footer of the page reads: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 2.2: Admin Tab on Tab Row Screen

This will take you to the administrative functions of ROCIS. The system will default to placing you in your 'User Profile' screen.

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From there, choose the ‘Change Password’ Option on the secondary tab row.

ROCIS Employee Administration

User ID:

Agency:

SubAgency:

Role:

Last Name:

First Name:

Employee Number:

Search Range:

- ☒ Users
- ☐ Contacts
- ☐ Both Users and Contacts

Agency	Name	Emp No	User ID	Phone Number	Email	Inactivate	Locked
No data available in table							

Showing 0 to 0 of 0 entries

First Previous Next Last

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Figure 2.3: ‘Change Password’ Tab on User Detail Screen

You will need to enter your old password, your new password (must be at least 8 characters, must have one number and one special character—like oira@1234) in both boxes as indicated. Click the ‘Change Password’ button. When you get the confirmation screen, click ‘OK’. Please do not share your password with anyone—this would be a violation of the Security Agreement that you signed and could result in the loss of your access to ROCIS.

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The screenshot shows the ROCIS.GOV UAI interface. The top navigation bar includes 'HOME', 'ADMINISTRATION', and 'HELP'. The 'ADMINISTRATION' section is active, showing sub-links for 'USER PROFILE', 'CHANGE PASSWORD', 'RECERTIFICATION', 'EMPLOYEE ADMIN', 'OIRA EMPLOYEE', and 'AGENCIES'. The 'CHANGE PASSWORD' link is highlighted. Below the navigation bar, the 'Change Password' screen is displayed. It contains three input fields: 'Old Password: *', 'New Password: *', and 'Confirm New Password: *'. A 'Password Strength' indicator shows 'Password not entered'. At the bottom of the form are two buttons: 'CHANGE PASSWORD' and 'CANCEL'. The footer of the page reads 'Copyright 2012 OSA. All rights reserved. Build 1.1.0 released.'

ROCIS.GOV UAI Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration Change Password

Change Password

Old Password: *

New Password: *

Confirm New Password: *

Password Strength: Password not entered

CHANGE PASSWORD CANCEL

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Figure 2.4: Change Password Screen for Expiring Password

3. HOW TO Review and Change Your User Profile

Your 'User Profile' tab is adjacent to the 'Change Password' tab on the Admin tab line (refer to figure 2.3 above). Select the User Profile tab to update your ROCIS information.

The screenshot displays the ROCIS Employee Administration interface. At the top, the navigation bar includes 'HOME', 'ADMINISTRATION', and 'HELP'. The 'ADMINISTRATION' tab is active, and the 'USER PROFILE' sub-tab is highlighted with a red circle. Below the navigation bar, the 'ROCIS Employee Administration' section contains a form for editing user information. The form includes fields for 'User ID', 'Agency', 'SubAgency', 'Role', 'Last Name', 'First Name', and 'Employee Number'. There are also 'SEARCH' and 'CREATE A NEW CONTACT' buttons. At the bottom, a table shows 'No data available in table'.

Agency	Name	Emp No	User ID	Phone Number	Email	Inactivate	Locked
No data available in table							

Figure 3.1: Admin Tab to Change User Profile

Upon initial entry, please verify and make appropriate changes to any information, paying particular attention to your telephone number and email. Then, be sure to save your information. The 'Save' button is located at the bottom of the screen.

Please be sure to return to the User Profile to modify your personal information, such as your phone number or email address, whenever changes occur.

Your profile will also display the role(s) that have been assigned to your user id. A complete discussion of the agency EO Reg Review roles can be found in Appendix A.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot displays the 'User Detail' screen within the ROCIS.GOV UAI interface. The top navigation bar includes 'HOME', 'ADMINISTRATION', and 'HELP'. The 'ADMINISTRATION' tab is active, showing sub-links for 'USER PROFILE', 'CHANGE PASSWORD', 'RECERTIFICATION', 'EMPLOYEE ADMIN', 'OIRA EMPLOYEE', and 'AGENCIES'. The 'User Profile' sub-link is selected.

The main content area is titled 'User Detail' and contains several sections:

- Personal Information:** Fields for Prefix, First Name (Julio), Middle Name, Last Name (Baez), Suffix, Title, Agency/Sub Agency (HHS), Agency (0900 HHS), and Sub Agency.
- Account Information:** Fields for Employee Number (132770) and User Login (jbaez3).
- Communications:** Fields for Telephone (999 999-9999), TDD, Fax, and E-Mail (julio.baez@gsa.gov). A note specifies that telephone and fax numbers must be 10 digits and can be separated by a hyphen, dot, or blank.
- Address:** Fields for Street Address, City, State (a dropdown menu), and Zip.
- User Roles:** A section titled '* Selected Roles' showing a list of roles, including 'AUTHORIZED EXECUTIVE ORDER REGULATORY CONTACT(AEOR) - 0900 HHS' through '0923 TSDR'.

At the bottom of the form are 'SAVE' and 'CANCEL' buttons. The footer indicates 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 3.2: User Detail Screen

To leave the User Profile page, scroll to the bottom and click 'Save' (if you changed anything) or 'Cancel'. This will take you back to the ROCIS Employee Administration screen.

4. HOW TO Use the ROCIS Employee Administration Search

The purpose of the Employee Administration Screen is to allow ROCIS users to find or identify other ROCIS users via a search capability. For instance, if you would like to look up another user's email, enter some portion of the user's name in the appropriate box. ROCIS will display any users with a matching entry for the name entered. Below is an example of a search for anyone with a last name starting with 'ba'.

ROCIS.GOV UAI Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration Employee Admin

ROCIS Employee Administration

User ID:

Agency:

SubAgency:

Role:

Last Name:

First Name:

Employee Number:

Search Range:

☒ Users
☐ Contacts
☐ Both Users and Contacts

SEARCH CREATE A NEW CONTACT

VIEW ALL

Agency	Name	Emp No	User ID	Phone Number	Email	Inactive	Locked
1212 PBGC	Baake, Jon	122736	jbaake	202 326-4100 x3425	baake.jon@pbpc.gov	Inactive	Locked
3245 SBA	Babcock, Lisa	127378	sbabcock	202 401-8203	lisa.babcock@sba.gov	Active	Unlocked
0900 HHS	Baez, Julio	132770	jbaez3	999 999-9999	julio.baez@gsa.gov	Active	Unlocked
8888 RISC	Baez, Julio	131432	jbaez	703 491-0888 x234	julio.baez@cyberdatainc.com	Active	Unlocked
8888 RISC	Baez, Julio	132759	jbaez2	999 999-9999	julio.baez@gsa.gov	Active	Unlocked
7774 IP	Bahl, Lane	131154	lbahl	202 395-3621	lbahl@omb.eop.gov	Active	Unlocked
0900 HHS	Baltman, Franklin	131327	fbaltman	202 690-6162	frank.baltman@hhs.gov	Active	Locked
1076 BIA	Bajema, Ruth	121689	rbajema	703 735-4414	Ruth.Bajema@bia.gov	Active	Unlocked
1010 BOEM	Bajusz, Arlene	121676	abajusz	703 787-1025	Arlene.Bajusz@mms.gov	Active	Unlocked
3145 NSF	Baker, Penny C	119136	pbaker	703 292-8060 x8687	pbaker@nsf.gov	Inactive	Locked

Showing 1 to 10 of 58 entries

First Previous 1 2 3 4 5 Next Last

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Figure 4.1: Employee Administration Screen

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You can also search users by role. Let's assume that you are a RRP and do not have the ability to submit an EO Reg review to OIRA. You have a package that is ready to be submitted, but the person who normally submits for you is out of the office. Since you know that the role with 'submit' privileges is the EORC, you can search for other users at your agency with that role.

The screenshot shows the ROCIS Employee Administration interface. At the top, there's a navigation bar with 'HOME', 'ADMINISTRATION', and 'HELP'. Below this is a sub-navigation bar with 'USER PROFILE', 'CHANGE PASSWORD', 'RE-CERTIFICATION', 'EMPLOYEE ADMIN', 'OIRA EMPLOYEE', and 'AGENCIES'. The 'EMPLOYEE ADMIN' section is active, showing 'Home', 'Administration', and 'Employee Admin' tabs. The main content area is titled 'ROCIS Employee Administration' and contains search filters for 'User ID', 'Agency' (set to '0900 HHS'), 'SubAgency' (set to 'Select'), 'Role' (set to 'EXECUTIVE ORDER REGULATORY CONTACT(EORC)'), 'Last Name', 'First Name', and 'Employee Number'. There are radio buttons for 'Search Range' with options 'Users', 'Contacts', and 'Both Users and Contacts'. Below the filters are 'SEARCH' and 'CREATE A NEW CONTACT' buttons. A 'VIEW ALL' button is also present. The search results are displayed in a table with columns: Agency, Name, Emp No, User ID, Phone Number, Email, Inactivate, and Locked. The table shows 19 entries, with the first 10 visible. The footer indicates 'Showing 1 to 10 of 19 entries' and 'First Previous 1 2 Next Last'. The copyright notice at the bottom reads 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Agency	Name	Emp No	User ID	Phone Number	Email	Inactivate	Locked
0938 CMS	Cartwell, Kathleen	124522	kcantwell	202 690-5961	kathleen.cartwell@hhs.gov	Active	Unlocked
0910 FDA	Carlson, Jan	119718	skennon	301 796-7011	jan.carlson@fda.hhs.gov	Active	Unlocked
0910 FDA	Carlson, Jan	130875	jcarlson	301 796-7011	Jan.Carlson@fda.hhs.gov	Active	Unlocked
0910 FDA	Chesemore, Scott D.	120221	schesemore	301 796-9133	scott.chesemore@fda.hhs.gov	Active	Unlocked
0938 CMS	Cohen, Kenneth	124523	kcohen	301 796-7001	kenneth.cohen@fda.hhs.gov	Active	Unlocked
0938 CMS	Fultz, Trenesha	119679	tfultz	202 690-7890	tfultz-mimms@cms.hhs.gov	Active	Unlocked
0900 HHS	Gallivan, John	119680	igallivan	202 205-9165	john.gallivan@hhs.gov	Active	Unlocked
0910 FDA	Helmanis, Lisa	119684	lhelmanis	301 796-9135	lisa.helmanis@fda.hhs.gov	Active	Unlocked
0910 FDA	Hyman, Darleese	115195	dhyman	301 827-0085	darleese.hyman@fda.hhs.gov	Inactive	Unlocked
0910 FDA	Johnson, Robin	112906	rjohnson	301 796-9136	robin.johnson@fda.hhs.gov	Active	Unlocked

Figure 4.2: Search by Role

If you are the Regulatory Privileges POC for your agency, it is a good idea to periodically check the authorized users for your agency. Simply enter your agency code, select any of the agency EO Reg Review roles (see Appendix A for a complete list) from the role drop down list, and click the 'Search' button. If the resultant list reflects users who have left your agency and still have active accounts, please contact the ROCIS Help Desk at 866-450-5250 so that the accounts can be inactivated and locked. Accounts are never deleted.

5. HOW TO Recertify

Any user acquiring a ROCIS production account must execute a security agreement provided by RISC and return it to the ROCIS security officer. The ROCIS system now requires that users recertify the terms of the security agreement every year.

Approximately two weeks before your security agreement anniversary date, ROCIS will begin to remind you that you will need to recertify. The recertification tab can be found under the Admin tab.

The screenshot displays the ROCIS Employee Administration interface. At the top, the 'ADMINISTRATION' tab is selected, and the 'RECERTIFICATION' option is highlighted with a red circle. The interface includes fields for User ID, Agency, SubAgency, Role, Last Name, First Name, and Employee Number. There are also search range options (Users, Contacts, Both Users and Contacts) and buttons for SEARCH and CREATE A NEW CONTACT. A table at the bottom shows columns for Agency, Name, Emp No, User ID, Phone Number, Email, Inactivate, and Locked, with a message 'No data available in table'.

Figure 5.1: Admin Tab with Recertification Option

On the recertification screen, there is a link to the Certification Form. You must click on the link and bring up the document 'ROCIS Security Requirements for System Users'. After reviewing the document, close the document window, check the 'Confirm' box, and enter your current ROCIS password. Then click the Recertify' button. This will reset your certification anniversary date for another year.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

ROCIS.GOV UAT Login: [name] Logout: [name]

ADMINISTRATION

USER PROFILE CHANGE PASSWORDS RECERTIFICATION EMPLOYEE ADMIN ORA EMPLOYEE ACCESS

Home Administration Recertification

User Recertification

GSA requires that all system users recertify their accounts on a yearly basis. To recertify your ROCIS account, please review the Certification Form below. After you have finished, check the "confirm" box, enter your ROCIS password, and click the "Recertify" button.

ROCIS Security Requirements for System Users

The RISC/ORA Consolidated Information System (ROCIS) supports the following informational and review functions:

- Preparation by GSA's Regulatory Information Service Center (RISC) of the semiannual Unified Agenda of Federal Regulatory and Deregulatory Actions and the annual Regulatory Plan, in accordance with Executive Order 13568 and the Regulatory Flexibility Act.
- Review by OMB's Office of Information and Regulatory Affairs (OIRA) of regulatory actions under Executive Order 12866, and
- Review by OIRA of information collections under the Paperwork Reduction Act.

Each of these functions requires entry and updating of information by authorized users acting on behalf of their respective Federal agencies. This document contains the principal security requirements that all users of ROCIS must observe in connection with their use of the system.

Access to ROCIS

Users gain access to ROCIS via an Internet browser. To enter the system, a user must indicate acceptance of the terms of the following warning notice:

You are about to access a U.S. Government computer system. Access to this system is restricted to authorized users only. Anyone who accesses the system without authorization or in excess of their authorization could be subject to a fine or imprisonment, or both, under Public Law 98-473. By entering this system, you consent to having your activities and/or accesses recorded by the system software and periodically monitored. If this record reveals suspected unauthorized use or criminal activity, the evidence may be provided to supervisory personnel and law enforcement officials. Do NOT process classified information on this system.

Other applicable laws include the Federal Information Security Management Act of 2002 (FISMA), P.L. 107-347, Title II, the Computer Security Act of 1987, P.L. 100-235, OMB Circular A-130, Management of Federal Resources, Appendix II, and the Privacy Act, 5 U.S.C. 552a.

User access will be controlled in accordance with the GSA IT Security Procedural Guide: Access Control CIO-IT Security-01-07. Access will be limited to authorized users as follows:

- All users must receive instruction in the proper use of ROCIS, including ROCIS security instruction, prior to being given access to the system.
- Access to ROCIS will be controlled through the use of user names and passwords and based on privileges granted by the ROCIS System Administrator.
- Each user will be granted access only to the extent needed to support the individuals specified role in relation to the agency's business functions.
- Accounts will be locked after six unsuccessful login attempts. Users will need to contact the help desk to get their accounts unlocked.
- Individuals who no longer have a need for access to ROCIS related to agency business functions, because of termination of employment, reassignment, or any other reason, are prohibited from logging into ROCIS. The individual or the agency should notify the ROCIS System Administrator of any such change in status.
- The ROCIS System Administrator will revoke access privileges for users who intentionally violate ROCIS security policies.
- All users must sign the Acknowledgment of ROCIS Security Requirements form attached to this document.

Sensitivity and Confidentiality of Information in the System

ROCIS must not be used to process classified data. However, the data ROCIS will handle are considered sensitive and proprietary because the information relates to decisions and actions that take place during the life cycle of regulations development and information collections approvals. Much of this information is predecisional, and there could be significant ramifications to the missions of RISC, OIRA, and other Federal agencies if the information is disclosed, altered, or released prior to approved release. Users therefore are prohibited from unauthorized disclosure of predecisional or other sensitive information.

In addition, ROCIS maintains user data containing information about agencies and employees, mailing lists, access privileges, user names and passwords, and user level access assignments, which must be protected.

Some of the information within ROCIS will be published and made available directly to the general public through the Internet. The public will not have access to sensitive or proprietary information in the system.

Rules for Behavior

All authorized governmental and contractor users of ROCIS will be responsible for data protection, including maintaining the confidentiality and integrity of sensitive data from unauthorized or accidental disclosure, misuse, or alteration. Users will be held accountable for their interactions with ROCIS and its data. Compliance with these rules will be enforced through sanctions commensurate with the level of infraction. Actions may include a verbal or written warning, removal of system access for a specific period of time, reassignment to other duties, or termination, depending on the severity of the violation.

General Requirements:

- Users must be familiar with ROCIS security and operational policies and practices and with any corresponding requirements of their agency.
- Users must promptly notify RISC, OIRA and, if appropriate, other Federal agency security personnel of any security incident related to ROCIS.
- Users must attend ROCIS and their agency's security instruction as required.
- Users must maintain an awareness of threats to the ROCIS application, server hardware, or data.
- Users must maintain familiarity with the functionality and proper use of ROCIS.
- ROCIS will track actions of users through audit trails. Individuals will be held accountable for their actions on the system and for any accesses made with their user names and passwords.
- Users must not import data into ROCIS from disks or files created on other systems unless they have first been scanned by an antivirus protection system.

Password Protection:

- Users must not share or otherwise disclose their passwords to other persons.
- Users must change their passwords upon initial access to ROCIS and thereafter every 90 days, or as prompted by the system, in accordance with the specifications for a mix of letters, numbers and special characters.
- Users should select passwords that avoid family names, sports team names, and other predictable keyboard patterns that may easily be guessed.
- Passwords should be memorized. Do not write, display, or store passwords where other persons may access or view them.
- Users should report to the ROCIS System Administrator any requests by others to reveal their passwords.

Use and Protection of Data:

- Users must access ROCIS only through authorized interfaces.
- Users must not attempt to view, change, or delete data, or to perform any other actions in ROCIS, unless authorized to do so.
- Users must control access to their personal computers whenever they are logged into ROCIS. Users should terminate their connections to ROCIS immediately upon completion of their work in the system and whenever their personal computers will be unattended.

Confirm: ☐

Password:

RECEIPT CANCEL

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Figure 5.2: User Recertification Screen

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

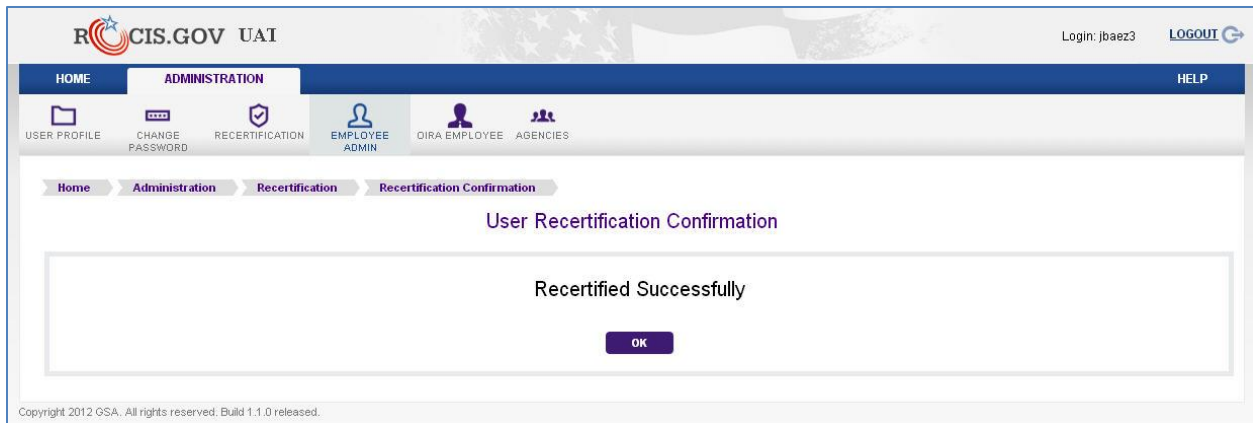


Figure 5.3: Recertification Confirmation Screen

If you do not recertify through the process above BEFORE your anniversary date, ROCIS will automatically send you to the 'User Recertification' screen the next time you log in. If you do not recertify, you will be logged out. This process will be repeated until you do recertify.

When you have satisfied your ROCIS administrative functions, click on the Agenda/Regs 'Inbox' tab to return to the Created Request List Inbox for Agency users.

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Regulatory Information Service Center (RISC)

6. Creating an EO Reg Review Request

To create an EO Regulatory Review package for a rule, the rule must already be in the Unified Agenda, which is another module within the ROCIS system. You can search the rules in the agenda by selecting the ‘Search’ tab and then choosing the ‘Rule Search’.

There are many different ways to search for the rule. If you already know the Regulatory Identifying Number (RIN), simply enter it in the appropriate box. In this example, the user has selected his agency (0900) and associated sub agency (0905), so all rules in the current agenda for that sub agency will be returned in the search result.

The screenshot shows the 'Rule Search' interface. At the top is a navigation bar with tabs: HOME, AGENDA/REGS (selected), ADMINISTRATION, and HELP. Below this is a sub-navigation bar with icons for INBOX, RULES, AGENDA, SEARCH (selected), AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Rule Search' and contains several search filters:

- RIN:** A text input field.
- Terms (Title and Abstract):** A text input field.
- Agency:** A dropdown menu with a search icon and the text 'Search or select'.
- Sub Agency:** A dropdown menu with a search icon and the text 'Search or select'.
- Search Range:** Radio buttons for 'Current Agenda Only' (selected), 'Current and Prior Publications', and 'Specific Publication' with a 'Select' dropdown.
- Priority:** Checkboxes for 'Economically Significant', 'Other Significant', 'Substantive, Nonsignificant', 'Routine and Frequent', and 'Info./Admin./Other'.
- SEARCH:** A red button.

Below the search filters are several sections of checkboxes and dropdowns for further refinement:

- Publish in the Regulatory Plan:** 'Yes' (selected) or 'No'.
- Major:** 'Yes' (selected), 'No', or 'Undetermined'.
- Anticipated EO 13771 Designation:** Checkboxes for 'Deregulatory', 'Regulatory', 'Exempt', 'Waived', and 'N/A'.
- RFA Section 610 Review:** Checkboxes for 'Section 610 Review', 'Completion of a Section 610 Review', 'Rulemaking Resulting From a Section 610 Review', and 'No'.
- RIN Status:** Checkboxes for 'Future RIN', 'New RIN', 'Repeating RIN', 'Resurrected RIN', 'Transferred RIN', and 'Z-RIN'.
- Small Entities Affected:** 'Yes' (selected) or 'No'. Under 'Yes', checkboxes for 'Businesses', 'Governmental Jurisdictions', and 'Organizations'.
- Federalism Implications:** 'Yes' (selected), 'No', or 'Undetermined'.
- Agency Has Prepared or Plans to Prepare Statement of Energy Effects:** 'Yes' (selected), 'No', or 'Undetermined'.
- International Impacts:** 'Yes' (selected), 'No', or 'Not Collected'.
- Government Level Affected:** 'Yes' (selected) or 'No'. Under 'Yes', checkboxes for 'Federal', 'Local', 'State', and 'Tribal'. Under 'No', 'Undetermined'.
- Is an analysis required by the Regulatory Flexibility Act because this rulemaking is likely to have a significant impact on a substantial number of small entities?:** 'Yes' (selected) or 'No'. Under 'Yes', checkboxes for 'Businesses', 'Governmental Jurisdictions', and 'Organizations'. Under 'No', 'Undetermined'.
- Rule Stage:** A dropdown menu with a search icon and the text 'Search or select'.
- Agency reported Affected Sectors using NAICS codes:** 'Yes' (selected) or 'No'.
- Unfunded Mandates:** 'Yes' (selected) or 'No'. Under 'Yes', checkboxes for 'State, local, or tribal governments' and 'Private Sector'. Under 'No', 'Undetermined'.
- Agency has reported Compliance Cost Information:** 'Yes' (selected) or 'No'.
- Legal Deadline:** 'From' and 'To' date pickers.
- Legal Deadline Action:** A dropdown menu with a search icon and the text 'Search or select'.
- Legal Deadline Type:** A dropdown menu with a search icon and the text 'Search or select'.
- CFR Citation:** A text input field.
- Legal Authority:** A text input field.
- Timetable Action Date:** 'From' and 'To' date pickers.
- Timetable Action:** A text input field.
- Timetable - FR Citation:** A text input field.
- Related Agency:** A dropdown menu with a search icon and the text 'Search or select'.
- Relation Type:** Checkboxes for 'JOINT' and 'COMMON'.
- Agency Sort Value 1:** A text input field.
- Agency Sort Value 2:** A text input field.
- Discontinue Flag:** 'Yes' (selected) or 'No'.
- Display in the E-Unified Agenda:** 'Yes' (selected) or 'No'.
- Print in FR Unified Agenda:** 'Yes' (selected), 'No', or 'N/A'.
- SEARCH:** A red button.

At the bottom left, there is a copyright notice: 'Copyright 2015 GSA. All rights reserved.'

Figure 6.1: Rule Search Screen

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The first column on the resultant screen is a link to the rule in the most recent agenda it appears in. Click on the link to review the rule information from the agenda.

NOTE: Whenever a column heading is underlined (like RIN, Agency or Rule Title in this screen shot) it can be used as a sort key. The RINs will come up in order by agency code. If you want to change the sort order, click on the column heading and the output will be reversed. Click on it again, and the sort order will be reversed again.

Normally, ROCIS displays 10 items per page. In this example, there are two pages of results. If you want to see all of the results without pagination, click 'View All' and ROCIS will create one long list with all of the items.

To select a rule, click on the RIN link.

ROCIS.GOV UAT Login: jbaez3 [LOGOUT](#)

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home AgendaRegs Search Rule Search

Rule Search - Results

Search Criteria

Name	Value(s)
Agency	0905 - HHS/PHS
Search Range	Current Agenda Only (Publication : 2013 October)

Results

[VIEW ALL](#)

<u>RIN</u>	<u>Agency</u>	<u>Rule Title</u>	<u>Pub ID</u>
0905-ZB07	0905	Aaa	
0905-ZB06	0905	Technical Assistance and Capacity Development Demonstration Grant Program for HIV/AIDS-Related Services in Highly Impacted Minority Communities	
0905-ZB05	0905	State and Territorial Minority HIV/AIDS Demonstration Grant Program	
0905-ZB04	0905	Notice Regarding Section 602 of the Veterans Health Care Act of 1992 Rebate Option	
0905-ZB03	0905	Mandatory Guidelines for Federal Workplace Drug Testing Programs	
0905-ZB02	0905	Announcement of Availability of Grants for Family Planning Research Project	
0905-ZB01	0905	Grants for Family Planning Research Projects	
0905-ZB00	0905	Availability of Grants for Adolescence Family Life Demonstration Projects - 7Million	
0905-ZA99	0905	Availability of Grants for Adolescence Family Life Demonstration Projects - \$1Million	
0905-ZA98	0905	Construction Grant for a National Center for Primary Care	

Showing 1 to 10 of 109 entries

First Previous 1 2 3 4 5 Next Last

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Figure 6.2: Rule Search Results

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

When you select a rule, ROCIS will display the 'View Rule' screen. This screen reflects information about the rule that has been generated by ROCIS (like RIN Created Date) or entered by a user.

To begin an EO Reg Review package, choose the EO Package link from the Rules menu.

The screenshot shows the ROCIS GOV. UAI interface. The top navigation bar includes links for HOME, ADMINISTRATION, and HELP. The main menu on the left has options like REQUEST NEW RIN, VIEW RULE, UPDATE RULE, CONTACT, TIMETABLE, EO PACKAGE (highlighted with a red circle), REGULATORY PLAN INFORMATION, and HISTORY. The main content area displays the 'View Rule 0905-AH97' screen. It includes a header with RIN details (RIN Created: 05/20/2013, RIN Modified By: Annie Lamb, Agenda Stage of Rulemaking: No Stage) and agency information (Agency/Sub-Agency: 0905 - HHS/FHS, Primary Agency Contact: No Primary Contact, Pub ID: 201310). The rule title is 'World Trade Center Health Program; Addition of Prostate Cancer to the List of WTC-Related Health Conditions'. The RFA Section 610 Review is 'Undetermined'. The 'Include in the Regulatory Plans' checkbox is checked. The 'Priority' is 'No'. The 'Legal Authority' is 'CFR Citation'. The 'Legal Description' section contains an 'Abstract' stating: 'This proposed rule adds prostate cancer to the list of health conditions covered by the World Trade Center Health Program.' The 'Timetable' section includes a table with columns for Action Description, Action Date, and FR Cite. The 'RFA Section 610 Review' section includes fields for Regulatory Flexibility Analysis Required, Small Entities Affected (Optional), Government Levels Affected, Federalism, Agency has prepared or plans to prepare Statement of Energy Effects, International Impacts, Additional Information, Agency Sort Value 1, Agency Sort Value 2, Statement Of Need, Summary Of the Legal Basis, Alternatives, Anticipated Costs and Benefits, and Risks. The 'Affected Sectors' section shows 'No associated records found'. The 'Related RINs' section shows 'No associated records found'. The 'Child RIN List' section shows 'No associated records found'. The 'This is a reduced paper print Agency:' checkbox is checked. The 'Printed in the FR Unified Agenda:' checkbox is checked. The 'Contact' section is empty. The footer contains the text: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 6.3: View Rule Screen

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ROCIS will navigate to the EO Review Packages screen for the rule that was selected.

There may have been other packages for this rule that were submitted to OIRA previously, and the review already concluded. These would be displayed on this screen and would have a conclusion date. If there are previously reviewed packages, you can continue.

ROCIS may also reflect an EO package here that has been submitted but is not yet concluded—it is still pending at OIRA. In that case, you should not create a new package. ROCIS will only allow one EO Review package per RIN to be pending at any given time.

In this example, there are no other packages, so the process can be continued by clicking on the ‘Create EO Review Package’ button.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'EO Review Packages 0905-AH97'. It displays a table with columns: Tracking #, EO Stage of Rulemaking, Status, Status Date, Conclusion Action, Conclusion Date, Assigned Designation, and Designation Date. The table is currently empty, with a message 'No data available in table' displayed below it. At the bottom of the screen, there is a red button labeled 'CREATE EO REVIEW PACKAGE'. The footer of the page indicates 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 6.4: EO Review Package Screen with ‘Create’ button

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Once you click on ‘Create EO Package’, you will be presented with the EO Package screen for the rule that you selected. Most of the information needed for the package is copied from the Agenda and displayed to you in this screen.

The arrows and bar on the right hand side of the screen indicate that there is more information below. The arrows can be used to scroll up and down.

ROCIS will save the EO package, and give you a confirmation message.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

HOME

AGENDA/REGS

ADMINISTRATION

HELP

INDEX

RULES

AGENDA

SEARCH

AGENCY EO REVIEW

REPORTS

Home

Agenda/Regs

Agency EO Review

EO Package

RIN: 1029-AC63 (201710)

Agency/Sub Agency: 1029 DOI/OSMRE

Tracking #: Submitted Date:

Stage of Rulemaking: Stream Protection Rule

Submitted By:

EO Review Package was successfully created at 09/11/2017 14:48:33 PM.

EO Review Package 1029-AC63

Unfunded Mandates

No

Major

No

Priority

Other Significant

Legal Authority

30 U.S.C. 1201 et seq.

CFR Citation

30 CFR VII

Legal Deadline

Action	Source	Date	Description
None	None		

Overall Description of Deadline

Abstract

The final rule published December 20, 2016 (81 FR 93066) and became effective January 19, 2017. The final rule was nullified by a joint resolution of disapproval under the Congressional Review Act, signed by the President on February 16, 2017 (Pub. L. 115-5). This action conforms to Public Law 115-5 by changing the Code of Federal Regulations to reflect the regulations as they existed before the effective date of the final rule that was nullified under the Congressional Review Act.

Next Timetable Action

Action Description	Action Date	FR Cite
ANPRM	11/09/2009	74 FR 52564
ANPRM Comment Period End	12/09/2009	
NPRM	07/27/2015	80 FR 44436
NPRM Comment Period Extended	09/10/2015	80 FR 54590
NPRM Comment Period End	09/25/2015	
NPRM Comment Period Extended End	10/26/2015	
Final Action	12/09/2016	81 FR 93066
Final Action Effective	01/19/2017	
Final Rule, CRA Revocation	07/09/2017	

Regulatory Flexibility Analysis Required

Businesses

Small Entities Affected

Government Levels Affected

State

Federalism

No

Agency has prepared or plans to prepare Statement of Energy Effects:

Undetermined

Designation Status

SIGNIFICANT

Agency Tracking Number

EO Stage Of Rulemaking

OIRA Designation

Designation Request

SIGNIFICANT

* Is this action related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]? ☐ Yes ☒ No

* Is this action related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]? ☐ Yes ☒ No

* Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)? ☐ Yes ☒ No

* International Impacts? ☐ Yes ☒ No

Primary Documents	Date Uploaded	Uploaded By
No associated records found		

Regulatory Impact Analysis Documents	Date Uploaded	Uploaded By
No associated records found		

Paperwork Reduction Act

* Does the rule contain ICRs? ☐ Yes ☒ No

New OMB Control Number Will Be Requested: ☐

Existing OMB Numbers

ADD

* Denotes Required Field

SAVE

DELETE

SUBMIT

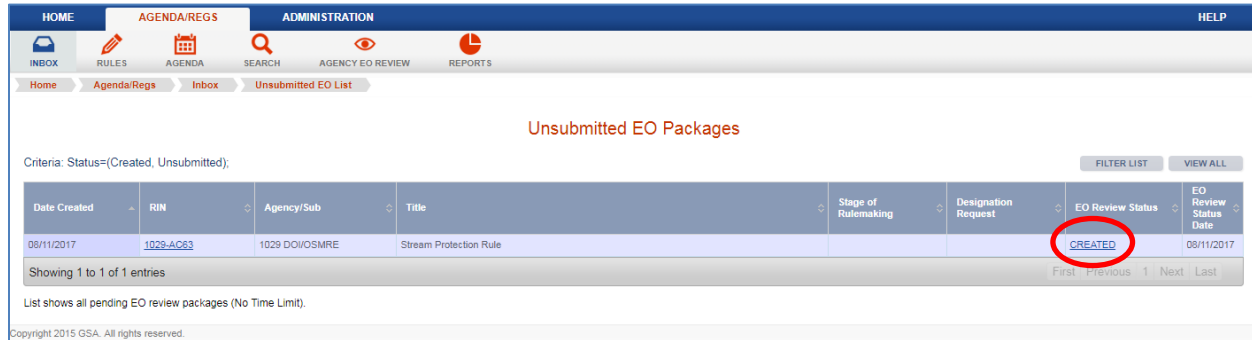
CANCEL

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Figure 6.5: EO Review Package Screen

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Your package now exists, and is available for updates at any time. You can continue to work on it now, or you can log off of ROCIS and come back later.



HOME AGENDA/REGS ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home > Agenda/Regs > Inbox > Unsubmitted EO List

Unsubmitted EO Packages

Criteria: Status=(Created, Unsubmitted); FILTER LIST VIEW ALL

Date Created	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
08/11/2017	1029-AC63	1029 DOI/OSMRE	Stream Protection Rule			CREATED	08/11/2017

Showing 1 to 1 of 1 entries First Previous 1 Next Last

List shows all pending EO review packages (No Time Limit).

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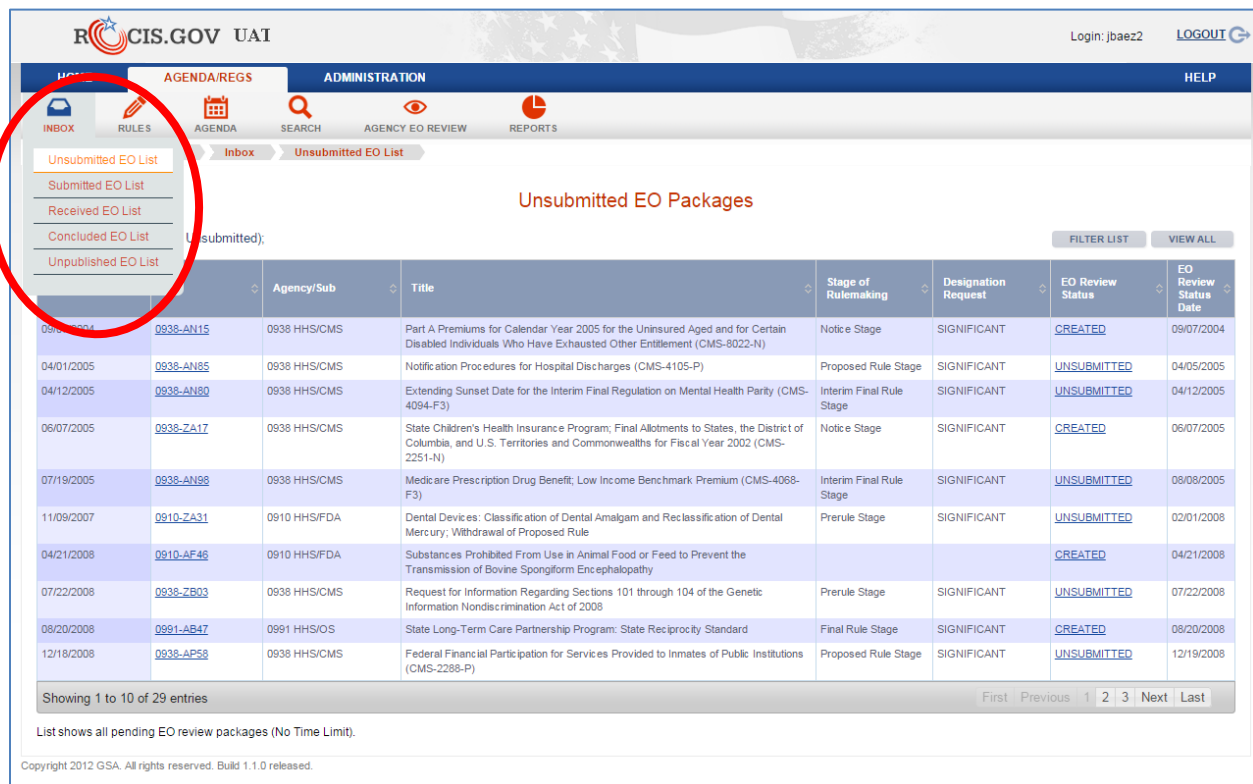
Figure 6.8: Unsubmitted EO Packages List (with New EO Package)

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

7. Using Your Inbox

ROCIS provides all users with an Inbox for tracking the progress of EO Reg Review requests. The inbox is divided into four sections, each of which is discussed below. Note the tab for the inbox on the top row of tabs. Regardless of the portion of the Inbox you are in, you can sort on any column heading to organize your work space. The sort works like a toggle switch. The first time a user clicks on the column heading, the column data is sorted. Clicking the column heading a second time will result in a reversal of the sort order from the first sort.

The first section of the Inbox is the ‘unsubmitted’ list. This list reflects all of the created EO Reg review packages for any agency/sub agency that you have access to, regardless of who created them. Once an EO package is created, it will remain in the unsubmitted list until it is submitted to OIRA or deleted from ROCIS.



The screenshot displays the ROCIS.gov user interface. At the top, there's a navigation bar with 'ROCIS.GOV' and 'UAI'. Below it, a secondary navigation bar includes 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The 'INBOX' tab is selected, and a sidebar on the left shows a list of links: 'Unsubmitted EO List' (highlighted with a red circle), 'Submitted EO List', 'Received EO List', 'Concluded EO List', and 'Unpublished EO List'. The main content area is titled 'Unsubmitted EO Packages' and contains a table of pending review packages. The table has columns for 'Agency/Sub', 'Title', 'Stage of Rulemaking', 'Designation Request', 'EO Review Status', and 'EO Review Status Date'. The status column shows 'CREATED' and 'UNSUBMITTED' entries. At the bottom, there's a pagination bar showing 'Showing 1 to 10 of 29 entries' and a footer note: 'List shows all pending EO review packages (No Time Limit).'

Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
0938 HHS/CMS	Part A Premiums for Calendar Year 2005 for the Uninsured Aged and for Certain Disabled Individuals Who Have Exhausted Other Entitlement (CMS-8022-N)	Notice Stage	SIGNIFICANT	CREATED	09/07/2004
0938 HHS/CMS	Notification Procedures for Hospital Discharges (CMS-4105-P)	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	04/05/2005
0938 HHS/CMS	Extending Sunset Date for the Interim Final Regulation on Mental Health Parity (CMS-4094-F3)	Interim Final Rule Stage	SIGNIFICANT	UNSUBMITTED	04/12/2005
0938 HHS/CMS	State Children's Health Insurance Program; Final Allotments to States, the District of Columbia, and U.S. Territories and Commonwealths for Fiscal Year 2002 (CMS-2251-N)	Notice Stage	SIGNIFICANT	CREATED	06/07/2005
0938 HHS/CMS	Medicare Prescription Drug Benefit; Low Income Benchmark Premium (CMS-4068-F3)	Interim Final Rule Stage	SIGNIFICANT	UNSUBMITTED	08/08/2005
0910 HHS/FDA	Dental Devices: Classification of Dental Amalgam and Reclassification of Dental Mercury; Withdrawal of Proposed Rule	Prerule Stage	SIGNIFICANT	UNSUBMITTED	02/01/2008
0910 HHS/FDA	Substances Prohibited From Use in Animal Food or Feed to Prevent the Transmission of Bovine Spongiform Encephalopathy			CREATED	04/21/2008
0938 HHS/CMS	Request for Information Regarding Sections 101 through 104 of the Genetic Information Nondiscrimination Act of 2008	Prerule Stage	SIGNIFICANT	UNSUBMITTED	07/22/2008
0991 HHS/O/S	State Long-Term Care Partnership Program: State Reciprocity Standard	Final Rule Stage	SIGNIFICANT	CREATED	08/20/2008
0938 HHS/CMS	Federal Financial Participation for Services Provided to Inmates of Public Institutions (CMS-2288-P)	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	12/19/2008

Figure 7.1: ‘Unsubmitted’ Inbox List

The next section of the Inbox is the ‘Submitted List’, which you can move to by selecting the “Submitted EO List” item from the Inbox menu. This list shows EO Reg Review packages that have been submitted to OIRA, but are not yet ‘received’.

Submissions will normally remain in the submitted box for two business days. After that, they will become automatically received, provided an OIRA desk officer does not intervene. Once

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the submission is received, it will be reflected in your ‘Received’ inbox. It will also appear on the ROCIS webpage www.reginfo.gov as a pending review.

An OIRA desk officer has the ability to override this process in two ways. While a request is in a submitted status, the desk officer can delay the request. The status will then be ‘delay’ (this action will be reflected in the in the submitted list if it occurs). The desk officer would then get in touch with your agency contact to discuss how to proceed with the review.

The desk officer can also eliminate the two day waiting period and accept the submission immediately.

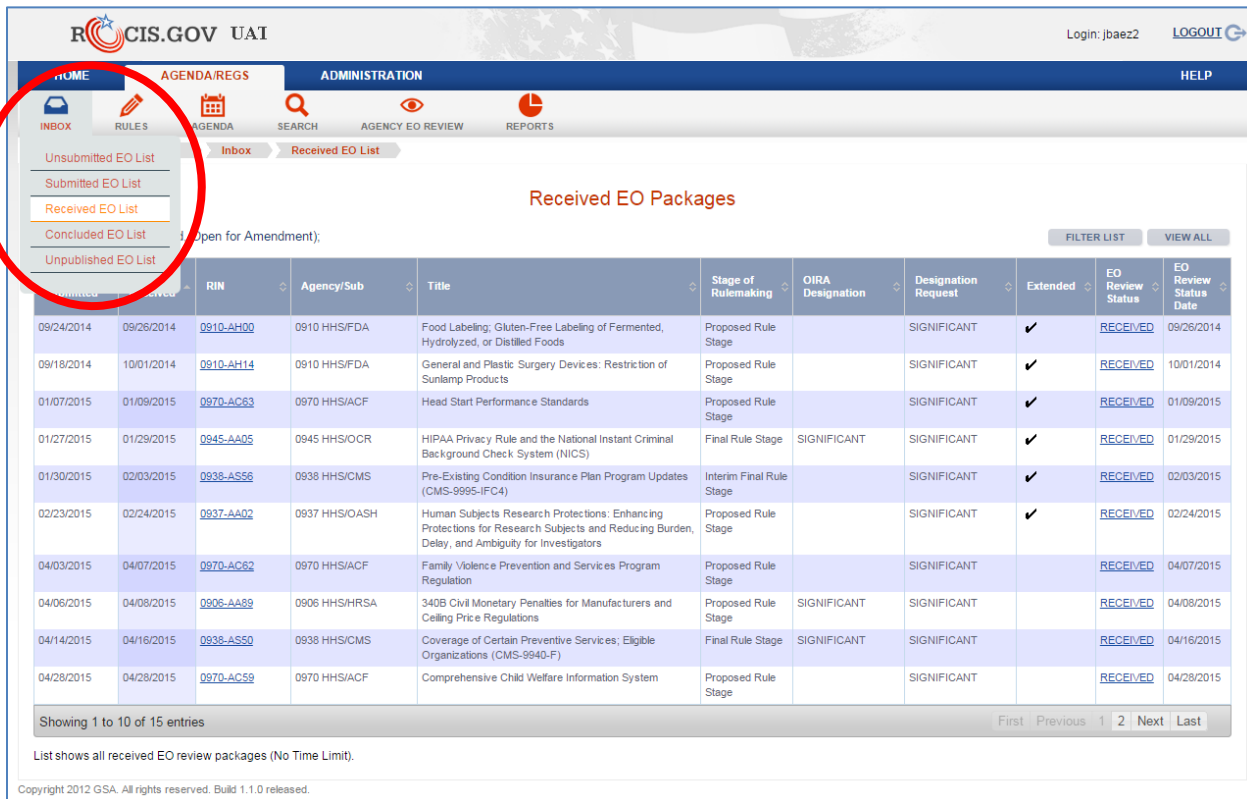
The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The left sidebar contains a list of links: Unsubmitted EO List, Submitted EO List (highlighted with a red circle), Received EO List, Concluded EO List, and Unpublished EO List. The main content area is titled 'Submitted EO Packages' and displays a table of submitted packages. The table has columns for Agency/Sub, Title, Stage of Rulemaking, OIRA Designation, Designation Request, EO Review Status, and EO Review Status Date. A single entry is shown for 'Medicare Part B Monthly Actuarial Rates and Premium Rate Beginning January 1, 2005 (CMS-8020-N)' with a status of 'SUBMITTED' and a date of '07/13/2015'. The bottom of the page includes a footer with copyright information: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	EO Review Status	EO Review Status Date
0938 HHS/CMS	Medicare Part B Monthly Actuarial Rates and Premium Rate Beginning January 1, 2005 (CMS-8020-N)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT	ECONOMICALLY SIGNIFICANT	SUBMITTED	07/13/2015

Figure 7.2: ‘Submitted’ Inbox List

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The third section of your Inbox is the ‘Received’ list. This list shows those requests that are currently under review at OIRA. Your request will remain in the ‘Received’ list until the review is concluded.



The screenshot displays the ROCIS.GOV UA1 web application. The top navigation bar includes links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this, a secondary menu shows INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The 'INBOX' section is expanded, showing a list of options: Unsubmitted EO List, Submitted EO List, **Received EO List** (highlighted with a red circle), Concluded EO List, and Unpublished EO List. The 'Received EO List' is the active view, displaying a table of 'Received EO Packages'.

		RIN	Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	Extended	EO Review Status	EO Review Status Date
09/24/2014	09/26/2014	0910-AH00	0910 HHS/FDA	Food Labeling: Gluten-Free Labeling of Fermented, Hydrolyzed, or Distilled Foods	Proposed Rule Stage		SIGNIFICANT	✓	RECEIVED	09/26/2014
09/18/2014	10/01/2014	0910-AH14	0910 HHS/FDA	General and Plastic Surgery Devices: Restriction of Sunlamp Products	Proposed Rule Stage		SIGNIFICANT	✓	RECEIVED	10/01/2014
01/07/2015	01/09/2015	0970-AC63	0970 HHS/ACF	Head Start Performance Standards	Proposed Rule Stage		SIGNIFICANT	✓	RECEIVED	01/09/2015
01/27/2015	01/29/2015	0945-AA05	0945 HHS/OCR	HIPAA Privacy Rule and the National Instant Criminal Background Check System (NICS)	Final Rule Stage	SIGNIFICANT	SIGNIFICANT	✓	RECEIVED	01/29/2015
01/30/2015	02/03/2015	0938-AS56	0938 HHS/CMS	Pre-Existing Condition Insurance Plan Program Updates (CMS-9995-IFC4)	Interim Final Rule Stage		SIGNIFICANT	✓	RECEIVED	02/03/2015
02/23/2015	02/24/2015	0937-AA02	0937 HHS/OASH	Human Subjects Research Protections: Enhancing Protections for Research Subjects and Reducing Burden, Delay, and Ambiguity for Investigators	Proposed Rule Stage		SIGNIFICANT	✓	RECEIVED	02/24/2015
04/03/2015	04/07/2015	0970-AC62	0970 HHS/ACF	Family Violence Prevention and Services Program Regulation	Proposed Rule Stage		SIGNIFICANT		RECEIVED	04/07/2015
04/06/2015	04/08/2015	0906-AA89	0906 HHS/HRSA	340B Civil Monetary Penalties for Manufacturers and Ceiling Price Regulations	Proposed Rule Stage	SIGNIFICANT	SIGNIFICANT		RECEIVED	04/08/2015
04/14/2015	04/16/2015	0938-AS50	0938 HHS/CMS	Coverage of Certain Preventive Services; Eligible Organizations (CMS-9940-F)	Final Rule Stage	SIGNIFICANT	SIGNIFICANT		RECEIVED	04/16/2015
04/28/2015	04/28/2015	0970-AC59	0970 HHS/ACF	Comprehensive Child Welfare Information System	Proposed Rule Stage		SIGNIFICANT		RECEIVED	04/28/2015

Showing 1 to 10 of 15 entries

First Previous 1 2 Next Last

List shows all received EO review packages (No Time Limit).

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Figure 7.3: ‘Received’ Inbox List

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The fourth section of your Inbox is the ‘Concluded’ list. Once OIRA concludes the review, your request will automatically be transferred to your Concluded inbox, where it will remain for 30 days. After that, it will no longer be accessible through the concluded list, but it can be located through the EO Reg Review ‘Search’ facility.

The screenshot displays the ROCIS.GOV UAT1 web application. The top navigation bar includes 'HOME', 'AGENDA/REGS', 'ADMINISTRATION', and 'HELP'. Below this, a secondary bar contains icons for 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. A red circle highlights the 'INBOX' icon and its corresponding dropdown menu, which lists 'Unsubmitted EO List', 'Submitted EO List', 'Received EO List', 'Concluded EO List' (highlighted in orange), and 'Unpublished EO List'. The main content area is titled 'Concluded EO List' and features a table with the following columns: 'Submitted', 'EO Review Status', 'EO Review Date', 'RIN', 'Agency/Sub', 'Title', 'Stage of Rulemaking', 'Designation', 'Extended', 'EO Review Status', and 'EO Review Date'. A single entry is shown for the date 07/13/2015, with a 'Consistent without Change' status, RIN 0945-AA02, and title 'Nondiscrimination Under the Patient Protection and Affordable Care Act'. The entry is marked as 'CONCLUDED'. Below the table, it states 'Showing 1 to 1 of 1 entries' and 'List shows EO review packages that were concluded in the last 30 days.' The footer includes the copyright notice 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Submitted	EO Review Status	EO Review Date	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Date
07/13/2015	Consistent without Change	0945-AA02	0945 HHS/OCR	Nondiscrimination Under the Patient Protection and Affordable Care Act	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT			CONCLUDED	

Figure 7.4: ‘Concluded’ Inbox List

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The final section of your Inbox is the ‘Unpublished’ list. Once OIRA approves the review, your Agency can publish the associated rulemaking document(s) in the Federal Register. Users with access to update the FR Publication Date for concluded EO packages (EORC and RRP users) have access to the ‘Unpublished’ list. This list will include approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda.

The screenshot displays the ROCIS.GOV UAI interface. A red circle highlights the 'Unpublished EO List' link in the left-hand navigation menu. The main content area is titled 'Unpublished EO List' and contains a table of regulatory packages. The table has columns for 'EO Number', 'Status', 'RIN', 'Agency/Sub', 'Title', 'Stage of Rulemaking', 'Designation', 'Extended', 'EO Review Status', and 'EO Review Date'. The table lists 10 entries, all with a status of 'CONCLUDED'. The first entry is for RIN 0945-AA02, titled 'Nondiscrimination Under the Patient Protection and Affordable Care Act'. The last entry is for RIN 0950-AA19, titled 'Planning and Establishment of Consumer Operated and Oriented Plan Program'. At the bottom of the table, it says 'Showing 1 to 10 of 284 entries' and includes pagination links: 'First', 'Previous', '1', '2', '3', '4', '5', 'Next', 'Last'.

EO Number	Status	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Date
07/13/2015	Consistent without Change	0945-AA02	0945 HHS/OCR	Nondiscrimination Under the Patient Protection and Affordable Care Act	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/21/2015	Consistent with Change	0938-AS25	0938 HHS/CMS	Medicaid Managed Care, CHIP Delivered in Managed Care, and Revisions related to Third Party Liability (CMS-2390-P)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/01/2015	Consistent with Change	0938-AS60	0938 HHS/CMS	Changes to the Requirements for Part D Prescribers (CMS-6107-JFC)	Interim Final Rule Stage	SIGNIFICANT		CONCLUDED	
04/29/2015	Consistent with Change	0938-AS38	0938 HHS/CMS	FY 2016 Hospice Rate Update (CMS-1629-P)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
04/27/2015	Consistent with Change	0910-AF69	0910 HHS/FDA	Over-the-Counter (OTC) Drug Review--Topical Antimicrobial Drug Products	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT	✓	CONCLUDED	
04/23/2015	Consistent with Change	0938-AS47	0938 HHS/CMS	FY 2016 Inpatient Psychiatric Facilities Prospective Payment System--Rate Update (CMS-1627-P)	Proposed Rule Stage	SIGNIFICANT		CONCLUDED	
04/02/2015	Consistent with Change	0910-AG69	0910 HHS/FDA	Registration of Food Facilities: Amendments to Food Facility Registration Requirements	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	
08/29/2014	Consistent with Change	0925-AA55	0925 HHS/NIH	Clinical Trials Registration and Results Submission	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	
03/07/2011	Consistent with Change	0950-AA10	0950 HHS/OCIO	Affordable Care Act Waiver for State Innovation; Review and Approval Process	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	03/07/2011
01/27/2011	Consistent with Change	0950-AA19	0950 HHS/OCIO	Planning and Establishment of Consumer Operated and Oriented Plan Program; Request for Comments Regarding Provisions of Consumer Operated and Oriented Plan Program	Notice Stage	SIGNIFICANT		CONCLUDED	01/27/2011

Showing 1 to 10 of 284 entries

First Previous 1 2 3 4 5 Next Last

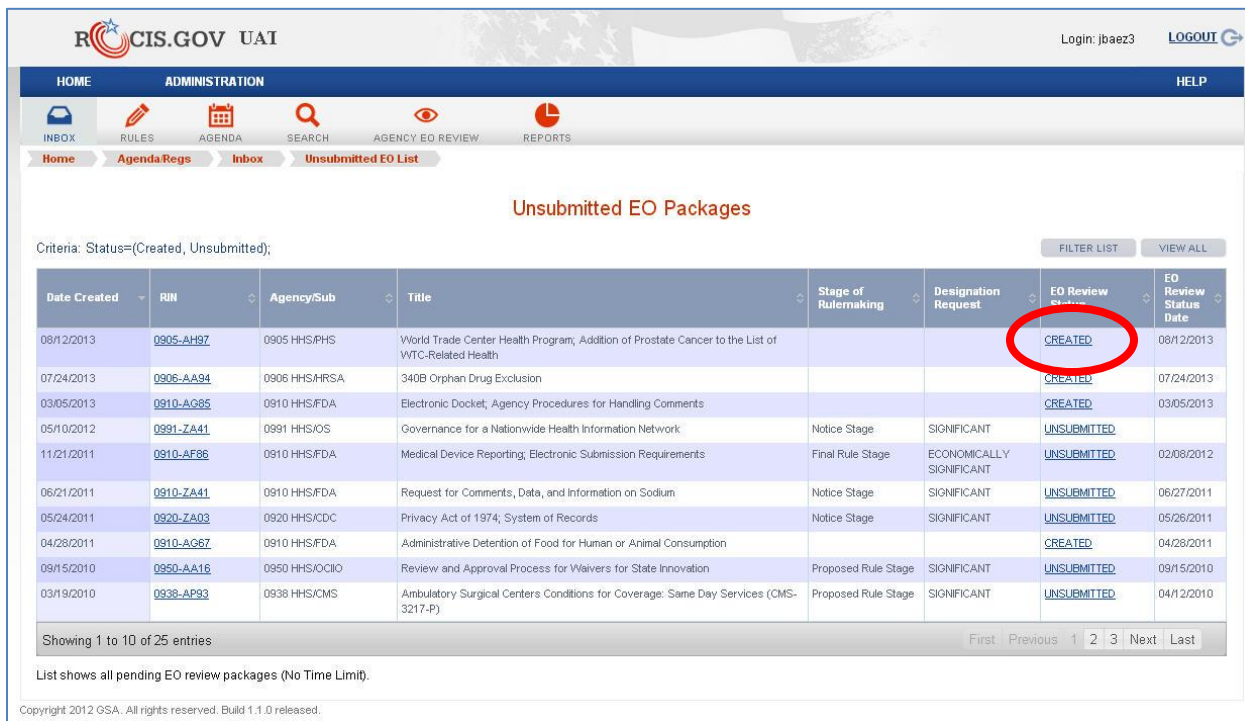
List shows all EO review packages that are concluded and unpublished (No Time Limit).

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Figure 7.5: ‘Unpublished’ Inbox List

8. Locating an Existing EO Reg Review Package

Chapter 6 discussed how to create an EO Review package. Chapter 7 covered your inbox and how to see a list of all unsubmitted packages. For this example, we will use the unsubmitted list to access the EO Reg Review package to be updated. To bring up the package for edit, click on the 'CREATED' in the EO Review status column. NOTE: If you click on the RIN, you will be transferred to the 'View Rule' screen.



Criteria: Status=(Created, Unsubmitted);

Date Created	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
08/12/2013	0905-AH97	0905 HHS/FHS	World Trade Center Health Program, Addition of Prostate Cancer to the List of WTC-Related Health			CREATED	08/12/2013
07/24/2013	0906-AA94	0906 HHS/HRSA	340B Orphan Drug Exclusion			CREATED	07/24/2013
03/05/2013	0910-AQ85	0910 HHS/FDA	Electronic Docket, Agency Procedures for Handling Comments			CREATED	03/05/2013
05/10/2012	0991-ZA41	0991 HHS/IOS	Governance for a Nationwide Health Information Network	Notice Stage	SIGNIFICANT	UNSUBMITTED	
11/21/2011	0910-AF86	0910 HHS/FDA	Medical Device Reporting, Electronic Submission Requirements	Final Rule Stage	ECONOMICALLY SIGNIFICANT	UNSUBMITTED	02/08/2012
06/21/2011	0910-ZA41	0910 HHS/FDA	Request for Comments, Data, and Information on Sodium	Notice Stage	SIGNIFICANT	UNSUBMITTED	06/27/2011
05/24/2011	0920-ZA03	0920 HHS/CDC	Privacy Act of 1974; System of Records	Notice Stage	SIGNIFICANT	UNSUBMITTED	05/26/2011
04/28/2011	0910-AQ67	0910 HHS/FDA	Administrative Detention of Food for Human or Animal Consumption			CREATED	04/28/2011
09/15/2010	0950-AA16	0950 HHS/OCIO	Review and Approval Process for Waivers for State Innovation	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	09/15/2010
03/19/2010	0938-AP93	0938 HHS/CMS	Ambulatory Surgical Centers Conditions for Coverage: Same Day Services (CMS-3217-P)	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	04/12/2010

Showing 1 to 10 of 25 entries

List shows all pending EO review packages (No Time Limit).

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Figure 8.1: 'Unsubmitted' List with EO Package Selected

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ROCIS will display the update screen for the EO package that was selected. Since most of the information was copied from the agenda, there is no data that needs to be added to this view of the package. However, the first two items below “EO Package” in the Agency EO Review menu indicate tasks that must be accomplished for all EO review packages, and the third is required if the rule is designated economically significant.

Click on the first of these items, the one labeled ‘Contact’.

The screenshot displays the ROCIS.GOV UAT interface. At the top, the header includes the ROCIS.GOV UAT logo, a login field with 'Login: jbaez3', and a 'LOGOUT' link. Below the header is a navigation bar with 'HOME' and 'ADMINISTRATION' tabs, and a 'HELP' link. The main navigation area contains icons for 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The 'AGENCY EO REVIEW' menu is expanded, showing a list of options: 'EO Package', 'Contact', 'Manage Documents', 'Economic Data', and 'EO History'. The 'Contact' option is highlighted with a red circle. The main content area shows details for 'Review Package 0905-AH97', including the RIN: 0905-AH97 (201310), Stage of Rulemaking: World Trade Center Health Program, A, Title: World Trade Center Health Program, A, Agency/Sub Agency: 0905 HHS/PHS, Submitted By: J. of WTC-Related Health, Tracking #: Submitted Date: The page also includes sections for 'Unfunded Mandates', 'Major', 'Priority', 'Legal Authority', 'CFR Citation', 'Legal Deadline', 'Overall Description of Deadline', and 'Abstract'.

Figure 8.2: EO Package Screen with Update Tasks

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility
Regulatory Information Service Center (RISC)

9. Adding a Contact

The contact screen is displayed below. The contact that is identified for the EO Review package should be a subject matter expert who could answer any questions that the OIRA desk officer may have about the proposed rule.

Whenever ROCIS has a drop down list of values from which to choose, there is a small arrow at the end of the input box. For the list of contacts, ROCIS will display the values that the user is authorized to select from. To display the list, click on the downward arrow to the right of the contact box.

A list of contacts or users that can be selected will be displayed for you. If the name of the person that you wish to select is in the list, scroll to that name, and click the ‘Add Existing Contact’ button.

The screenshot displays the ROCIS.GOV UAI interface. The top navigation bar includes links for HOME, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area shows the 'Contact' tab selected. It displays the following information:

- RIR: 0905-AH97 (201310)
- Stage of Rulemaking: World Trade Center Health Program; Addition of Prostate Cancer to the List of WTC-Related Health
- Agency/Sub Agency: 0905 HHS/PHS
- Submitted By: [blank]
- Tracking #: [blank]
- Submitted Date: [blank]

The 'EO Contact List 0905-AH97' is shown as a table with columns: Sort Order, Agency, Name, Phone Number, Email, and Remove. The table is currently empty, with a message 'No data available in table'.

Below the table, a note states: 'Note: Drag and drop an entry to a new location to change the order of contact list.'

An 'Available Contact(s)' dropdown menu is shown with the selected contact: 'Baez, Julio - 132770'. Below this menu are two buttons: 'ADD EXISTING CONTACT' (highlighted with a red circle) and 'ADD NEW CONTACT'.

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Figure 9.1: Contact Screen

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If the name of the person you want to reference is not in the list, you will need to add the individual as a contact. To do that, select the 'Add New Contact' button.

In an effort to reduce or eliminate duplicate entries, ROCIS will force a search through the administrative task 'ROCIS Contact Administration' for the name you want to add. Enter some portion of the name that you want to use, and then click on the 'Search' button (hitting enter does not cause a search to occur).

The search results will be displayed at the bottom of the screen. The persons located through this search are not limited to EO Reg Review contacts. They represent all types of ROCIS contacts for your agency/sub agency, including those for the agenda module, the PRA module and the SORN module.

If you see the name that you want to add as a contact, click on the name in the search result portion of the page.

The screenshot shows the ROCIS Contact Administration page. At the top, there's a navigation bar with 'HOME', 'ADMINISTRATION', and 'HELP'. Below this is a sub-navigation bar with 'Home', 'Administration', 'Employee Admin', and 'Search Contacts'. The main content area is titled 'ROCIS Contact Administration'. It features a search box labeled 'Last Name:' with the text 'ba' entered, and a 'SEARCH' button. Below the search box, a note states: 'Note: In order to add a new contact you must first search on the Last Name.' Another note below that says: 'Please ensure that the contact you want to create is not one of the existing contacts displayed below.' There are 'ADD' and 'CANCEL' buttons, and a 'VIEW ALL' button. A table displays the search results with columns: Agency, Name, Phone Number, Email, and Employee No. The table shows 28 entries, with the first 10 displayed. The footer of the page includes the text: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Agency	Name	Phone Number	Email	Employee No
0900 HHS	Baltimore, Sharon A.			100512
0900 HHS	Bastinelli, Sandra	410 786-3630		122187
0905 PHS	Baggett, Bruce	301 443-4776		100435
0905 PHS	Bailey, Catherine J.	202 245-2140		100450
0905 PHS	Bailey, John Q.	301 443-6541		100454
0905 PHS	Bastacky, Stanford	301 443-5400		100606
0906 HRSA	Balbier, Thom E.	301 443-6593	tbalbier@hrsa.gov	100496
0906 HRSA	Bercliff, Songhai	301 443-8681		131787
0906 HRSA	Bercliff, Songhai	301 443-8681	sbercliff@hrsa.gov	132362
0910 FDA	Bluss, Jane	301 796-3469		103016

Figure 9.2: Contact List Search Result

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

In this example, Julio Baez was selected. Julio is in ROCIS as a contact for the agenda module. That can be determined by noting the arrow next to 'RIN Contact'. The arrow and active status are not highlighted because your role does not allow you to change agenda contacts. However, you can make Julio a contact for the EO Reg Review process by clicking on the box next to 'EO Contact'.

The screenshot displays the 'Edit Contact Detail' form in the ROCIS system. The form is divided into several sections: 'Personal Information', 'Address', 'Communications', and 'Contact Modules'. The 'Personal Information' section includes fields for Prefix, First Name (Julio), Middle Name, Last Name (Baez), Suffix, Employee Number (132788), Title, Agency (0900 HHS), and Sub Agency. The 'Address' section includes Street Address, City, State, and Zip. The 'Communications' section includes Telephone, TDD, Fax, and E-Mail fields. The 'Contact Modules' section contains a table with checkboxes and radio buttons for RIN, EO, PRA, and ODR contacts. The EO Contact row is highlighted with a red circle. The 'SAVE' button is located at the bottom of the form.

Contact Module	Active	Inactive
RIN Contact	<input type="radio"/>	<input type="radio"/>
EO Contact	<input checked="" type="radio"/>	<input type="radio"/>
PRA Contact	<input type="radio"/>	<input type="radio"/>
ODR Contact	<input type="radio"/>	<input type="radio"/>

Figure 9.3: Contact Screen for Existing Contact

To make the change, scroll down to the bottom of the screen and click on the 'Save' button. After the information is saved, you will be returned to the EO Contact screen.

If the contact you wish to add is not found in the search of all existing contacts, click on the 'Add' button.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS Contact Administration interface. At the top, there's a header with the ROCIS.GOV UAI logo and a login/logout section. Below this is a navigation bar with tabs for HOME, ADMINISTRATION, and HELP. Under ADMINISTRATION, there are icons for USER PROFILE, CHANGE PASSWORD, RECERTIFICATION, EMPLOYEE ADMIN, OIRA EMPLOYEE, and AGENCIES. The main content area is titled 'ROCIS Contact Administration' and contains a search form with a 'Last Name' field (containing 'bae') and a 'SEARCH' button. Below the search form, there's a note: 'Note: In order to add a new contact you must first search on the Last Name.' and a warning: 'Please ensure that the contact you want to create is not one of the existing contacts displayed below.' At the bottom of the form, there are 'ADD' and 'CANCEL' buttons. The 'ADD' button is highlighted with a red circle. Below the buttons is a table with columns: Agency, Name, Phone Number, Email, and Employee No. The table contains one entry: 0900 HHS, Baez, Julio, 999 999-9999, and 132788. At the bottom of the table, it says 'Showing 1 to 1 of 1 entries' and 'First Previous 1 Next Last'. The footer of the page says 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

ROCIS.GOV UAI Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration Employee Admin Search Contacts

ROCIS Contact Administration

Last Name:

SEARCH

Note: In order to add a new contact you must first search on the Last Name.

Please ensure that the contact you want to create is not one of the existing contacts displayed below.

ADD CANCEL

DISPLAY LIST

Agency	Name	Phone Number	Email	Employee No
0900 HHS	Baez, Julio	999 999-9999		132788

Showing 1 to 1 of 1 entries First Previous 1 Next Last

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Figure 9.4: Contact Screen with 'Add' highlighted

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot displays the 'New Contact Detail' form in the ROCIS.gov UAT system. The form is divided into several sections: 'Personal Information', 'Address', 'Contact Modules', and 'Communications'. The 'Personal Information' section includes fields for Prefix, First Name, Middle Name, Last Name (pre-filled with 'bae'), Suffix, Title, and Agency (a dropdown menu). The 'Address' section includes fields for Street Address, City, State (a dropdown menu), and Zip. The 'Contact Modules' section has checkboxes for RIN, EO, PRA, and ODR contacts, each with 'Active' and 'Inactive' radio buttons. The 'EO Contact' checkbox is checked. The 'Communications' section has fields for Telephone, TDD, Fax, and E-Mail. The 'CREATE CONTACT' and 'CANCEL' buttons are at the bottom. The page footer indicates 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 9.5: New Contact Screen

The 'New Contact Detail' screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although 'Email' is not required, it is highly desirable that it be entered.

The agency item has a drop down list from which the agency or sub agency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with '00', and a number of sub agencies. If the contact is associated with the agency code, he will appear in the drop down list for any sub agencies that are part of that agency. If he is associated with a sub agency, he will only appear in the drop down list for that sub agency.

In this example, the user has access to both '0600', the agency code for Department of Commerce, and the sub agency '0607', the Census Bureau, so both numbers are listed in the drop down list. If the user selects '0600' as Nancy's (the new contact), agency, Nancy Smith will appear as an EO contact for any sub agency within Commerce. If she is associated with 0607, she will only be a contact for Census. If someone were to create an EO package for sub agency 0605, Nancy would not appear in the list. If Nancy was supposed to be a contact for 0605, another contact record would have to be added showing her agency as '0605'. If Nancy should be a contact for all sub agencies within Commerce, but you don't have access to '0600', please contact someone who does and ask that user to set up Nancy's contact record. You can use the Employee Admin search described above to find someone with access to '0600'.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

Click 'Create Contact' at the bottom of the screen. The new contact will be saved, and you will be returned to the 'EO Contact List' screen. All of the contacts that you have selected will be displayed. You can manipulate the order of the contacts by dragging and dropping the listed contacts to the desired sort position. You can also remove a contact by clicking on 'Remove' button.

If the contact information is complete, select the 'Manage Documents' tab to move to the new item required for the EO review package.

ROCIS.GOV UAT Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home AgendaRegs Agency EO Review Contact

RIN: 0905-AH97 (201310) Agency/Sub Agency: 0905 HHS/PHS Tracking #: Submitted Date:
Stage of Rulemaking: Submitted By:
Title: World Trade Center Health Program; Addition of Prostate Cancer to the List of WTC-Related Health

EO Contact List 0905-AH97

Sort Order	Agency	Name	Phone Number	Email	Remove
1	0900 - HHS	Baez, Julio	999 999-9999	julio.baez@gsa.gov	
2	0900 - HHS	Acharva, Arun	202 690-5147	arun.acharya@hhs.gov	

Note: Drag and drop an entry to a new location to change the order of contact list.

Available Contact(s)

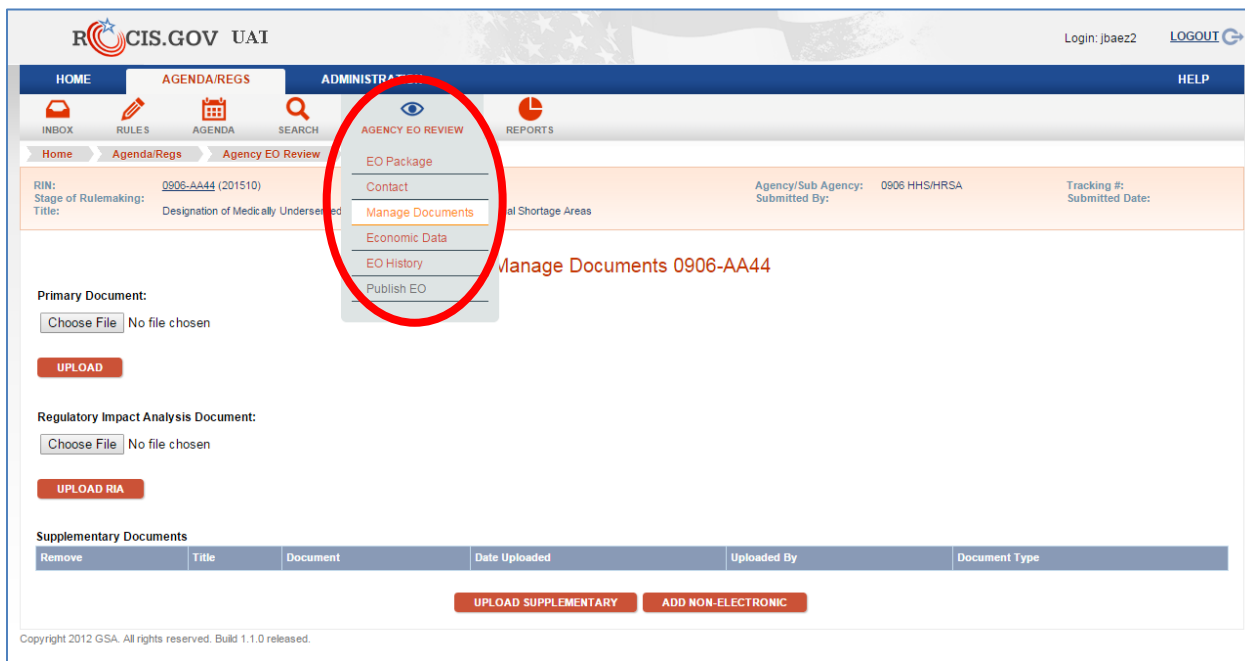
ADD EXISTING CONTACT ADD NEW CONTACT SAVE ORDER

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Figure 9.6: Completed EO Contact List

10. HOW TO Electronically Attach (Upload) EO REG Review Documents

To upload (electronically attach) the required documents, move to the 'EO Package' line of tabs and select 'Manage Documents'.



The screenshot displays the ROCIS.GOV user interface. At the top, the header includes the ROCIS.GOV logo, the user's name 'UAI', and a login status 'Login: jbaez2' with a 'LOGOUT' link. Below the header is a navigation bar with tabs: 'HOME', 'AGENDA/REGS', and 'ADMINISTRATION'. The 'AGENDA/REGS' tab is active, showing sub-tabs: 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The 'AGENCY EO REVIEW' sub-tab is selected, and a red circle highlights the 'Manage Documents' option in the dropdown menu. The main content area shows the 'Manage Documents 0906-AA44' screen. It includes a 'Primary Document' section with a 'Choose File' button and an 'UPLOAD' button. Below this is a 'Regulatory Impact Analysis Document' section with a 'Choose File' button and an 'UPLOAD RIA' button. At the bottom, there is a 'Supplementary Documents' table with columns: 'Remove', 'Title', 'Document', 'Date Uploaded', 'Uploaded By', and 'Document Type'. Below the table are two buttons: 'UPLOAD SUPPLEMENTARY' and 'ADD NON-ELECTRONIC'. The footer text reads: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 10.1: Manage Documents Screen

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

Every EO REG Review submission requires a rule document, which is considered the primary document for the EO package. It is often referred to as the proposed rule document, not because of the stage of rulemaking, but because it is the text being proposed by the agency.

The document to be uploaded must already be stored on your desktop in an electronic format. ROCIS will allow you to update almost any type of file. Most primary document files uploaded are either Word, Word Perfect or PDF formats. If your primary document is a Word file, insure that all final changes are accepted before the document is uploaded. There should be no comments or edits viewable in the document.

To upload a new document, click on the 'Browse' button. A new pop-up window will appear, displaying a list of files or directories for your desktop computer. Navigate through your files until the document to be uploaded is located. Click on the file name, and the name will be displayed in the 'file name' window near the bottom of the pop-up. Next, click the 'Open' button, and the path to the document will appear in the ROCIS window on the 'Manage Documents' screen. Finally, click the 'Upload' button, and ROCIS will attach the file electronically to your submission.

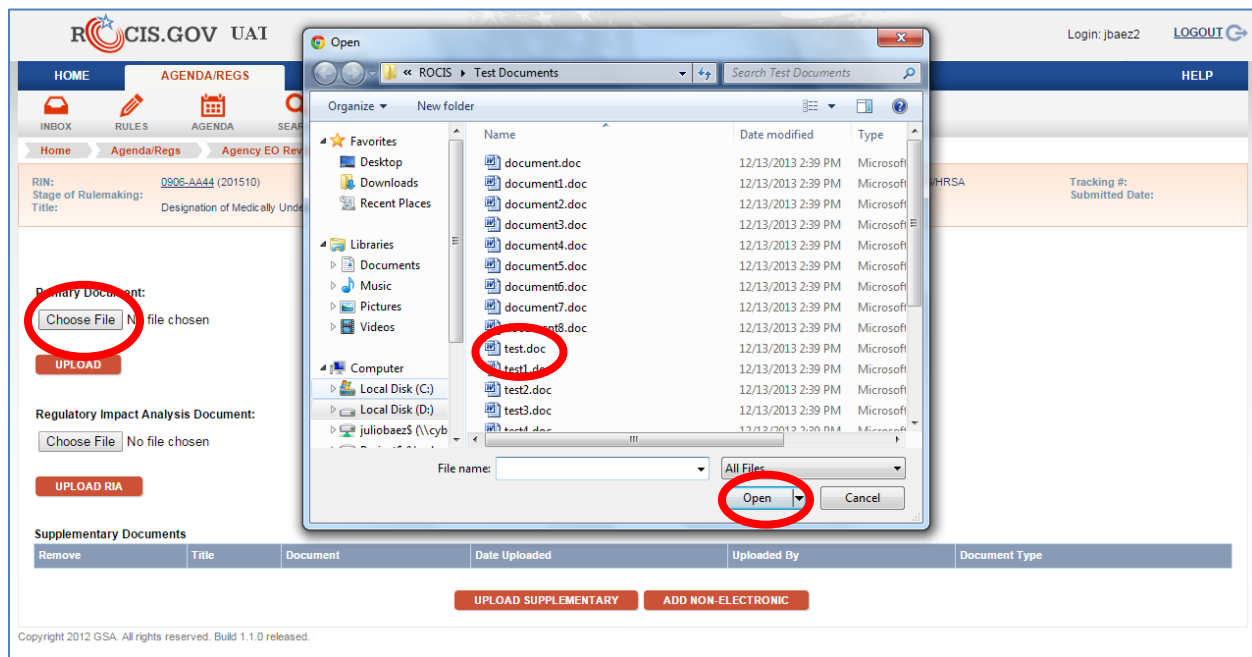


Figure 10.2: Upload Document Pop-up Screen with File Selected and Open Button

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS.GOV UA1 interface. The top navigation bar includes HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a sub-navigation bar with INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Manage Documents 0906-AA44'. It displays the RIN: 0906-AA44 (201510) and the Title: Designation of Medically Underserved Populations and Health Professional Shortage Areas. The Agency/Sub Agency is 0906 HHS/HRSA, and the Submitted By is [redacted]. The Tracking #: Submitted Date is [redacted].

Primary Document:

test.doc

Regulatory Impact Analysis Document:

No file chosen

Supplementary Documents

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
--------	-------	----------	---------------	-------------	---------------

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Figure 10.3: Path to Selected Document

The screenshot shows the same ROCIS.GOV UA1 interface as Figure 10.3. The main content area is titled 'Manage Documents 0906-AA44'. It displays the RIN: 0906-AA44 (201510) and the Title: Designation of Medically Underserved Populations and Health Professional Shortage Areas. The Agency/Sub Agency is 0906 HHS/HRSA, and the Submitted By is [redacted]. The Tracking #: Submitted Date is [redacted].

Primary Document: test.doc

No file chosen

Regulatory Impact Analysis Document:

No file chosen

Supplementary Documents

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
--------	-------	----------	---------------	-------------	---------------

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Figure 10.4: Manage Document Screen with Primary Document Uploaded

If you find that you want to replace this file before the request is submitted, simply repeat the steps above. Since there can be only one primary document, any new document uploaded will replace the one that is there.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

Although only the primary document is required, OIRA encourages agency users to include a separate Regulatory Impact Assessment (RIA) document with their EO packages. To upload an RIA, follow the same steps for uploading a primary document.

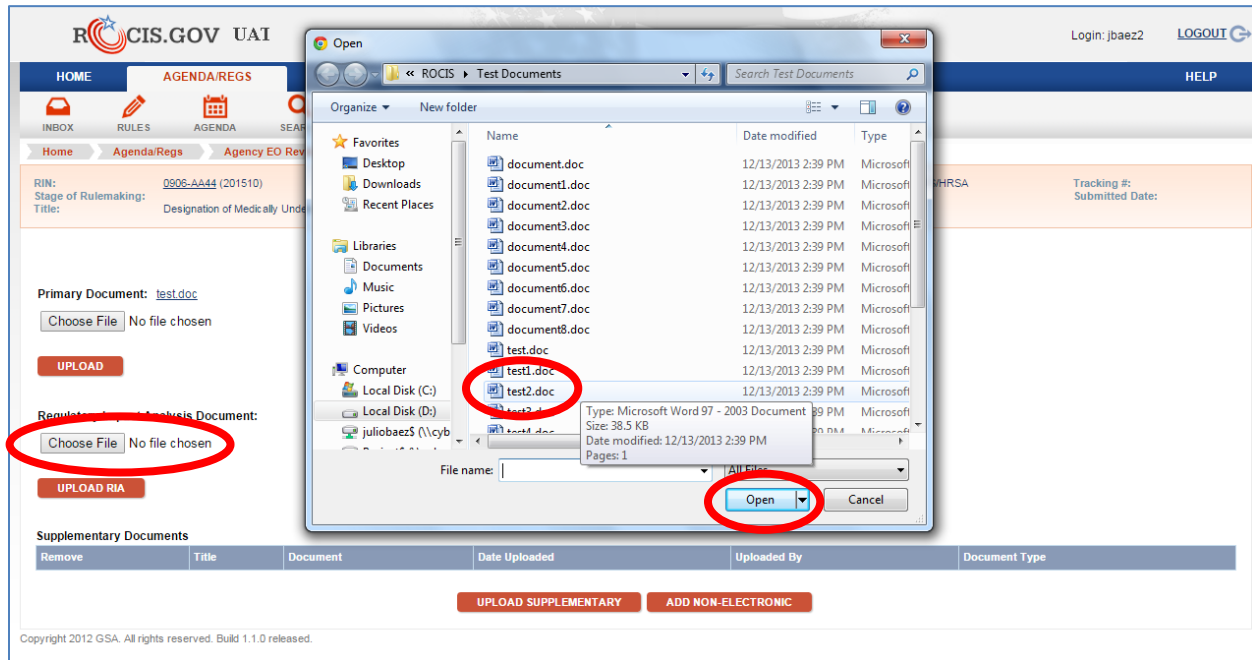


Figure 10.5: Upload Document Pop-up Screen with File Selected and Open Button

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

ROCIS.GOV UAI Login: jbaez2 LOGOUT

HOME AGENDA/REGS ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda/Regs Agency EO Review Manage Documents

RIN: 0906-AA44 (201510) Agency/Sub Agency: 0906 HHS/HRSA Tracking #: Submitted Date:
Stage of Rulemaking: Title: Designation of Medically Underserved Populations and Health Professional Shortage Areas Submitted By:

Manage Documents 0906-AA44

Primary Document: [test.doc](#)
Choose File No file chosen
UPLOAD

Regulatory Impact Analysis Document: [test1.doc](#)
Choose File test1.doc
UPLOAD RIA

Supplementary Documents

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
--------	-------	----------	---------------	-------------	---------------

UPLOAD SUPPLEMENTARY ADD NON-ELECTRONIC

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Figure 10.6: Path to Selected Document

ROCIS.GOV UAI Login: jbaez2 LOGOUT

HOME AGENDA/REGS ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda/Regs Agency EO Review Manage Documents

RIN: 0906-AA44 (201510) Agency/Sub Agency: 0906 HHS/HRSA Tracking #: Submitted Date:
Stage of Rulemaking: Title: Designation of Medically Underserved Populations and Health Professional Shortage Areas Submitted By:

Manage Documents 0906-AA44

Primary Document: [test.doc](#)
Choose File No file chosen
UPLOAD

Regulatory Impact Analysis Document: [test1.doc](#)
Choose File No file chosen
UPLOAD RIA REMOVE RIA

Supplementary Documents

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
--------	-------	----------	---------------	-------------	---------------

UPLOAD SUPPLEMENTARY ADD NON-ELECTRONIC

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Figure 10.7: Manage Document Screen with Primary Document Uploaded

Users may want to include other documents in the package for OIRA to consider during the review. These documents can be uploaded as supplementary documents. To upload additional documents, click on the 'Upload Supplementary' button.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot shows the 'Manage Documents 0906-AA44' page. At the top, there's a navigation bar with 'HOME', 'AGENDA/REGS', 'ADMINISTRATION', and 'HELP'. Below this is a sub-navigation bar with 'Home', 'Agenda/Regs', 'Agency EO Review', and 'Manage Documents'. The main content area shows details for RIN 0906-AA44 (201510), titled 'Designation of Medically Underserved Populations and Health Professional Shortage Areas'. It includes fields for 'Primary Document' (test.doc) and 'Regulatory Impact Analysis Document' (test1.doc), each with a 'Choose File' button. Below these are 'UPLOAD' and 'UPLOAD RIA' buttons. At the bottom, there's a table for 'Supplementary Documents' with columns: Remove, Title, Document, Date Uploaded, Uploaded By, and Document Type. Below the table are two buttons: 'UPLOAD SUPPLEMENTARY' (circled in red) and 'ADD NON-ELECTRONIC'. A copyright notice at the bottom reads 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 10.8: Upload Supplementary Button

Since multiple supplementary documents can be uploaded, each will need to be identified with a title and document date.

After entering those two items, the process to upload the document is identical to that for a primary document. Click on the 'Browse' button to locate the document.

The screenshot shows the 'Upload Supplementary Document' dialog box. It contains a header with the title 'Upload Supplementary Document'. Below the header is a table with the following information: RIN: 0938-ANBS (200504), Stage of Rulemaking: Proposed Rule Stage, Title: Notification Procedures for Hospital Discharges (CMS-4105-P), Agency/Sub Agency: 0938 HHS/CMS, Submitted By: Annie Lamb, Tracking #: Submitted Date. Below the table are four input fields: '* Title:', '* Document Date:', 'Date Uploaded:', and 'Uploaded By:'. Below these fields is a 'Choose File' button with the text 'No file chosen'. At the bottom are two buttons: 'SAVE' and 'CLOSE WINDOW'.

Figure 10.6: Upload Supplementary screen

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If a document needs to be removed, check the box to the left of the document name, and click on the 'Remove' button.

The screenshot shows the ROCIS web application interface. At the top, there's a header with 'ROCIS.GOV' and 'UAI'. Below that, a navigation bar includes 'HOME', 'AGENDA/REGS', 'ADMINISTRATION', and 'HELP'. The 'AGENDA/REGS' section is active, showing 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The 'AGENCY EO REVIEW' section is also active, showing 'Home', 'Agenda/Regs', 'Agency EO Review', and 'Manage Documents'. The 'Manage Documents' section is titled 'Manage Documents 0938-AN85'. It includes a 'Primary Document' section with a link to 'CMS-4105-P master 3-29-05.pdf' and an 'UPLOAD' button. Below that is a 'Regulatory Impact Analysis Document' section with a 'Choose File' button and an 'UPLOAD RIA' button. The 'Supplementary Documents' section contains a table with columns: 'Remove', 'Title', 'Document', 'Date Uploaded', 'Uploaded By', and 'Document Type'. The table has one row with 'Test' as the title, 'test2.doc' as the document, '07/15/2015' as the date, and 'Julio Baez' as the uploader. A red circle highlights the 'Remove' checkbox in the first column of the table. Below the table, there is a 'REMOVE' button, also highlighted with a red circle. At the bottom, there are two buttons: 'UPLOAD SUPPLEMENTARY' and 'ADD NON-ELECTRONIC'. The footer text reads 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 10.7: Upload Supplementary Document with Remove Button

ROCIS also provides the user with the ability to provide a document to OIRA that is not in a machine readable format. However, this should be viewed as a measure of last resort, since the document will need to be hand delivered to the New Executive Office building by a government employee. The agency employee will need to call the OIRA Records Management Center at 202-395-6880 to make an appointment to drop off the document.

To create a cover sheet, click on the 'Add Non-Electronic Document' button. The cover sheet will need to be filled out and then printed. It should be attached to the document so that when the document is received at OIRA, it can be routed to the appropriate desk officer to be included with the EO package.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility
Regulatory Information Service Center (RISC)

Cover Sheet

Document Information

RIN :

Title:

Publication Information :

Created Date :

EO User Guide Example

Test

08/12/2013

Author(s)

First Name:

Last Name:

Affiliation:

Julio

Baez

Program Director

Contact Information

Creator Name:

Agency:

Address 1:

Address 2:

Address 3:

City:

State:

Zip:

Phone:

Fax:

E-mail:

Julio Baez

Department of Health and Human Services

999 999-9999

julio.baez@gsa.gov

PRINT

CLOSE WINDOW

Figure 10.8: Cover Sheet for Non-Electronic Document

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Regulatory Information Service Center (RISC)

11. HOW TO Handle Economic Data

If the package you are building is for an economically significant rule, economic data will need to be included in the package before it can be submitted. To enter economic data, click on the 'Economic Data' tab.

The screenshot shows the ROCIS.GOV UAI interface. The 'Economic Data' tab is highlighted with a red circle. The screen displays a table for entering economic data, including sections for Benefits, Costs, Transfers, and Effects.

Working Version of Costs and Benefits Statement

Category	Primary Estimate	Low Estimate	High Estimate	Units		Period Covered	Notes
				Year	Disc		
Benefits EDIT							
Annualized Monetized \$millions/year					7%		
					3%		
Annualized Quantified					7%		
					3%		
Qualitative							
Costs EDIT							
Annualized Monetized \$millions/year					7%		
					3%		
Annualized Quantified					7%		
					3%		
Qualitative							
Transfers EDIT							
Federal Annualized Monetized \$millions/year					7%		
					3%		
From/To	From:			To:			
Other Annualized Monetized \$millions/year					7%		
					3%		
From/To	From:			To:			
Effects EDIT							
State, Local, and/or Tribal Government							
Small Business							
Wages							
Growth							

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Figure 11.1: Economic Data screen

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Economic data is highly specialized, and should be supplied by an economist at your organization. If there is a problem in entering the economic data, call the ROCIS Help Desk at 866-450-5250 to ask for assistance.

12. Adding Final Information and Submitting

Now that the package has been created, the contact added, the documents uploaded and, if necessary, the economic data entered, the EO Reg Review request is almost ready to be submitted to ROCIS.

Return to the EO Package screen and scroll down to the bottom.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

HOME

AGENDA/REGS

ADMINISTRATION

HELP

INBOX

RULES

AGENDA

SEARCH

AGENCY EO REVIEW

REPORTS

Home

Agenda/Regs

Agency EO Review

EO Package

RIN:

1029-AC63 (201710)

Agency/Sub Agency:

1029 DOV/OSMRE

Tracking #:

Submitted Date:

Stage of Rulemaking:

Stream Protection Rule

Title:

Stream Protection Rule

EO Review Package 1029-AC63

Unfunded Mandates

No

Major

No

Priority

Other Significant

Legal Authority

30 U.S.C. 1201 et seq.

CFR Citation

30 CFR VII

Legal Deadline

Action	Source	Date	Description
None	None		

Overall Description of Deadline

Abstract

The final rule published December 20, 2016 (81 FR 93066) and became effective January 19, 2017. The final rule was nullified by a joint resolution of disapproval under the Congressional Review Act, signed by the President on February 16, 2017 (Pub. L. 115-5). This action conforms to Public Law 115-5 by changing the Code of Federal Regulations to reflect the regulations as they existed before the effective date of the final rule that was nullified under the Congressional Review Act.

Next Timetable Action

Action Description	Action Date	FR Cite
ANPRM	11/09/2009	74 FR 62664
ANPRM Comment Period End	12/09/2009	
NPRM	07/07/2015	80 FR 44436
NPRM Comment Period Extended	09/10/2015	80 FR 54599
NPRM Comment Period End	09/25/2015	
NPRM Comment Period Extended End	10/26/2015	
Final Action	12/20/2016	81 FR 93066
Final Action Effective	01/19/2017	
Final Rule: CRA Revocation	07/09/2017	

Regulatory Flexibility Analysis Required

Businesses

Small Entities Affected

Government Levels Affected

State

Federalism

No

Agency has prepared or plans to prepare Statement of Energy Effects:

Undetermined

Designation Status

SIGNIFICANT

Agency Tracking Number

* EO Stage Of Rulemaking

OIRA Designation

SIGNIFICANT

Designation Request

OIRA Designation

SIGNIFICANT

Designation Request

* Is this action related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]? ☐ Yes ☒ No

* Is this action related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]? ☐ Yes ☒ No

* Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)? ☐ Yes ☒ No

* International Impacts? ☐ Yes ☒ No

Primary Documents

Date Uploaded

Uploaded By

No associated records found

Regulatory Impact Analysis Documents

Date Uploaded

Uploaded By

No associated records found

Paperwork Reduction Act

* Does the rule contain ICRs? ☐ Yes ☒ No

New OMB Control Number Will Be Requested: ☐

Existing OMB Numbers

ADD

* Denotes Required Field

SAVE DELETE SUBMIT CANCEL

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Figure 12.1: EO Package Screen

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility
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There are several additional items that must be entered into the request.

The first is the stage of rulemaking. Select the appropriate value from the drop down list provided by ROCIS.

The next is the designation. Again, there is a drop down list with three options available.

Choose ‘economically significant’ if the rule will have an annual effect on the economy of \$100 million or more.

Choose ‘significant’ if the rule will adversely affect in a material way the economy, a sector of the economy, a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local, or tribal governments or communities. Any rules that create a serious inconsistency or otherwise interfere with an action taken or planned by another agency, materially alter the budgetary impact of entitlements, grants, user fees, or loan programs or the rights and obligations of recipients thereof; or raise novel legal or policy issues arising out of legal mandates, the President’s priorities, or the principles set forth in this Executive order would also be designated ‘Significant’.

Choose ‘Not Significant’ for anything not covered above.

Indicate whether or not the rule is related to the Affordable Care Act by selecting the appropriate option.

Indicate whether or not the rule is related to the Dodd-Frank Act by selecting the appropriate option.

Indicate whether or not the rule requires, authorizes, or affects the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information by selecting the appropriate option.

Indicate whether or not the rule has international impacts.

Before the package can be saved, the question pertaining to ICRs must be answered.

ICR stands for information collection request. These are requests that are reviewed by OIRA under the Paperwork Reduction Act, and eventually assigned an OMB control number. If you know the associated OMB control numbers, or know that one or more will eventually be collected, you can answer the related questions and then save the EO package. If you do not know, simply answer ‘no’ to save the package, and check with a paperwork contact at your office.

To find an ICR expert at your office, use the ‘Employee Administration ‘ search described earlier, and search for someone from your agency with the role of Authorized Paperwork Contact (APC). If you do not find anyone by searching on your sub agency, try the search again using your agency code.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

Agency Tracking Number <input style="width: 100%;" type="text"/>	* EO Stage Of Rulemaking <input style="width: 100%;" type="text"/>
OIRA Designation SIGNIFICANT	Designation Request <input style="width: 100%;" type="text"/>
* Is this action related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]? <input type="radio"/> Yes <input checked="" type="radio"/> No * Is this action related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]? <input type="radio"/> Yes <input checked="" type="radio"/> No * Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)? <input type="radio"/> Yes <input checked="" type="radio"/> No * International Impacts? <input type="radio"/> Yes <input checked="" type="radio"/> No	
Primary Documents	Date Uploaded
No associated records found	
Regulatory Impact Analysis Documents	Date Uploaded
No associated records found	
Paperwork Reduction Act	
* Does the rule contain ICRs? <input type="radio"/> Yes <input checked="" type="radio"/> No New OMB Control Number Will Be Requested: <input type="checkbox"/>	
Existing OMB Numbers ADD	
* Denotes Required Field	
SAVE DELETE SUBMIT CANCEL	

Figure 12.2: Bottom of EO Package Screen

Agency Tracking Number <input style="width: 100%;" type="text"/>	* EO Stage Of Rulemaking Prerule Stage
OIRA Designation SIGNIFICANT	Designation Request NOT SIGNIFICANT
* Is this action related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]? <input type="radio"/> Yes <input checked="" type="radio"/> No * Is this action related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]? <input type="radio"/> Yes <input checked="" type="radio"/> No * Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)? <input type="radio"/> Yes <input checked="" type="radio"/> No * International Impacts? <input type="radio"/> Yes <input checked="" type="radio"/> No	
Primary Documents	Date Uploaded
No associated records found	
Regulatory Impact Analysis Documents	Date Uploaded
No associated records found	
Paperwork Reduction Act	
* Does the rule contain ICRs? <input type="radio"/> Yes <input checked="" type="radio"/> No New OMB Control Number Will Be Requested: <input type="checkbox"/>	
Existing OMB Numbers ADD	
* Denotes Required Field	
SAVE DELETE SUBMIT CANCEL	

Figure 12.3: Completed EO Package Screen

The request is now ready to be submitted. Whether the ‘Submit’ button is available on your screen depends on your level of access to the EO REG Review module. If you do not have the ‘Submit’ button, save your request and notify an EORC at your organization that the request is ready to be submitted to OIRA. If you do not know who has EORC privileges, refer to the section on Employee Administration to perform a search by agency and role.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

If the 'Submit' button does appear on your screen, simply click it. ROCIS will reply with a confirmation message. If everything looks fine, click 'OK'. The request will immediately be submitted to OIRA, and you will be transferred to your 'Submitted Request List' where you can see the request status.

The screenshot shows the ROCIS.GOV UAI interface. The top navigation bar includes HOME, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area displays the 'EO Review Package 0905-AH97' submission confirmation. A green banner states: 'EO Review Package was successfully submitted at 08/12/2013 16:27:41 PM.' Below this, various fields are shown, including RIN (0905-AH97), Agency/Sub Agency (0905 HHS/PHS), and Tracking # (08/12/2013). The 'Unfunded Mandates' section is expanded, showing 'No' for Unfunded Mandates, 'Major' for Major, 'Undetermined' for Priority, 'Substantive, Nonsignificant' for Legal Authority, and 'CFR Citation'. The 'Legal Deadline' section is also expanded, showing a table with columns: Action, Source, Date, and Description. The 'Overall Description of Deadline' section is expanded, showing 'test'.

ROCIS.GOV UAI Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda Regs Agency EO Review EO Package

RIN: 0905-AH97 (201310)
Stage of Rulemaking: Prerule Stage
Title: World Trade Center Health Program; Addition of Prostate Cancer to the List of WTC-Related Health

Agency/Sub Agency: 0905 HHS/PHS
Submitted By: Julio Baez

Tracking #: 08/12/2013
Submitted Date: 08/12/2013

EO Review Package 0905-AH97

EO Review Package was successfully submitted at 08/12/2013 16:27:41 PM.

Unfunded Mandates

No

Major

Undetermined

Priority

Substantive, Nonsignificant

Legal Authority

CFR Citation

Legal Deadline

Action	Source	Date	Description
--------	--------	------	-------------

Overall Description of Deadline

test

Abstract

Figure 12.4: Confirmation of Submission

The screenshot shows the ROCIS.GOV UAI interface. The top navigation bar includes HOME, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area displays the 'Submitted EO Packages' list. A table shows two entries. The first entry is for RIN 0905-AH97, submitted on 08/12/2013, with a status of 'SUBMITTED'. The second entry is for RIN 0938-AN15, submitted on 07/22/2013, with a status of 'SUBMITTED'. The table has columns: Date Submitted, RIN, Agency/Sub, Title, Stage of Rulemaking, OIRA Designation, Designation Request, EO Review Status, and EO Review Status Date. The 'EO Review Status' column shows 'SUBMITTED' for both entries. The 'EO Review Status Date' column shows '08/12/2013' for the first entry and '07/22/2013' for the second entry. The table is filtered by 'Criteria: Status=(Submitted, Delayed)'. The table shows 1 to 2 of 2 entries. The list shows all pending EO review packages (No Time Limit).

ROCIS.GOV UAI Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda Regs Inbox Submitted EO List

Submitted EO Packages

Criteria: Status=(Submitted, Delayed);

Date Submitted	RIN	Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	EO Review Status	EO Review Status Date
08/12/2013	0905-AH97	0905 HHS/PHS	World Trade Center Health Program; Addition of Prostate Cancer to the List of WTC-Related Health	Prerule Stage		NOT SIGNIFICANT	SUBMITTED	08/12/2013
07/22/2013	0938-AN15	0938 HHS/CMS	Part A Premiums for Calendar Year 2005 for the Uninsured Aged and for Certain Disabled Individuals Who Have Exhausted Other Entitlement (CMS-8022-N)	Notice Stage	ECONOMICALLY SIGNIFICANT	SIGNIFICANT	SUBMITTED	07/22/2013

Showing 1 to 2 of 2 entries

First Previous 1 Next Last

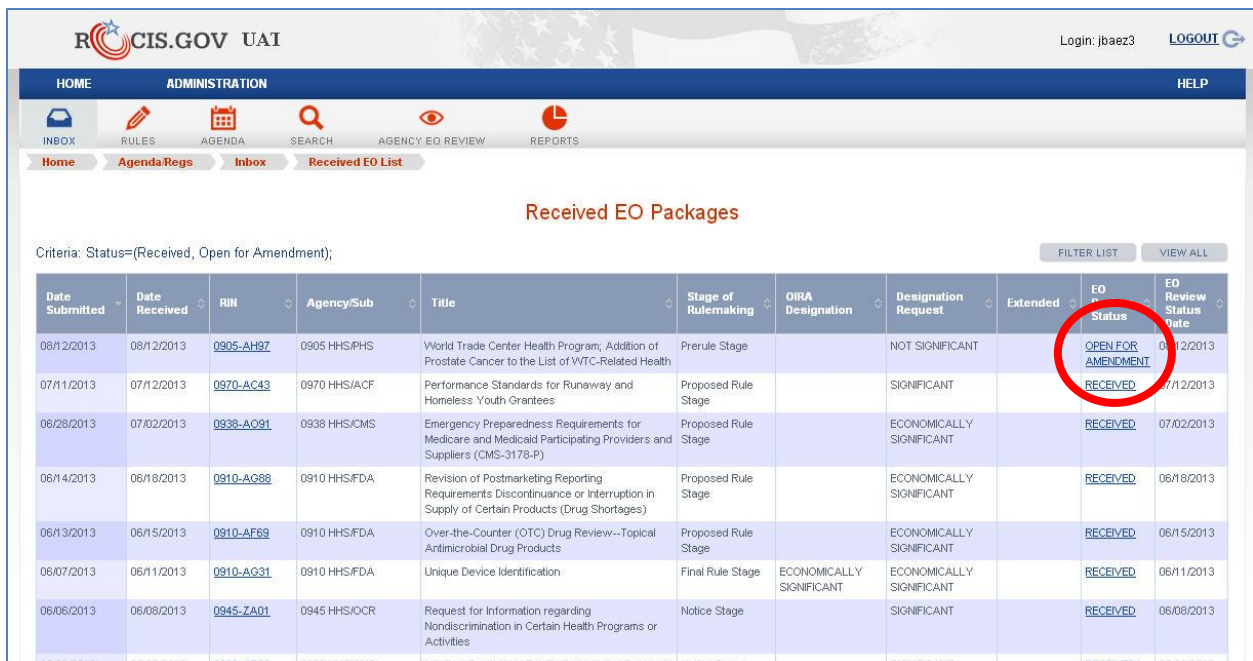
List shows all pending EO review packages (No Time Limit).

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Figure 12.5: Submitted Request List

13. The Review Process and Open/Close for Amendment

When the EO Package is submitted, the ROCIS system saves the agency submission (EO REG Review data and documents), and that submission record is never altered. Instead, at the same time, the system makes an exact copy of the submission and provides it to OIRA. While the EO Package is under review, OIRA may request that the agency make changes to the submission. These changes will be made to the OIRA copy of the record. In order for the agency to make changes to the OIRA version of the package, an OIRA desk officer must open the record for amendment. Such an action on the part of OIRA will show as a change of status in the 'Received' list for the agency. The status will be changed to 'Open for Amendment'. Once a package has this status, the agency can operate on the submission by clicking on the status.



Criteria: Status=(Received, Open for Amendment);

Date Submitted	Date Received	RIN	Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	Extended	EO Status	EO Review Status Date
08/12/2013	08/12/2013	0905-AH87	0905 HHS/PHS	World Trade Center Health Program, Addition of Prostate Cancer to the List of WTC-Related Health	Prerule Stage		NOT SIGNIFICANT		OPEN FOR AMENDMENT RECEIVED	08/12/2013
07/11/2013	07/12/2013	0970-AC43	0970 HHS/ACF	Performance Standards for Runaway and Homeless Youth Grantees	Proposed Rule Stage		SIGNIFICANT		RECEIVED	07/12/2013
06/28/2013	07/02/2013	0938-AO91	0938 HHS/CMS	Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers (CMS-3178-P)	Proposed Rule Stage		ECONOMICALLY SIGNIFICANT		RECEIVED	07/02/2013
06/14/2013	06/18/2013	0910-AG88	0910 HHS/FDA	Revision of Postmarketing Reporting Requirements Discontinuance or Interruption in Supply of Certain Products (Drug Shortages)	Proposed Rule Stage		ECONOMICALLY SIGNIFICANT		RECEIVED	06/18/2013
06/13/2013	06/15/2013	0910-AF69	0910 HHS/FDA	Over-the-Counter (OTC) Drug Review--Topical Antimicrobial Drug Products	Proposed Rule Stage		ECONOMICALLY SIGNIFICANT		RECEIVED	06/15/2013
06/07/2013	06/11/2013	0910-AG31	0910 HHS/FDA	Unique Device Identification	Final Rule Stage	ECONOMICALLY SIGNIFICANT	ECONOMICALLY SIGNIFICANT		RECEIVED	06/11/2013
06/06/2013	06/08/2013	0945-ZA01	0945 HHS/OCR	Request for Information regarding Nondiscrimination in Certain Health Programs or Activities	Notice Stage		SIGNIFICANT		RECEIVED	06/08/2013
05/20/2013	05/20/2013	0938-AF63	0938 HHS/CMS	Investment Incentives Facility, Preventive Services	Notice Stage		SIGNIFICANT		RECEIVED	05/20/2013

Figure 13.1: Received List showing EO Package Open for Amendment

The OIRA desk officer will have advised what is to be changed for the submission. Normally, this will entail adding a new version of the primary document. To upload a new version of the document, go to the 'Manage Documents' screen and click the 'Upload New Version' button.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS.GOV UAI interface. The top navigation bar includes links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a sub-navigation bar with INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Manage Documents 0906-AA44'. It displays metadata for the document, including RIN: 0906-AA44 (201510), Stage of Rulemaking: Proposed Rule Stage, Title: Designation of Medically Underserved Populations and Health Professional Shortage Areas, Agency/Sub Agency: 0906 HHS/HRSA, Submitted By: Julio Baez, OMB Ref #: 0906-A073, and Submitted Date: 07/13/2015.

The 'Primary Document Versions' section contains a table with the following data:

Document	Version	Date Uploaded	Uploaded By
test.doc	1.0	07/13/2015	Julio Baez

Below the table is a 'Choose File' button and the text 'No file chosen'. A red circle highlights the 'UPLOAD NEW VERSION' button.

The 'Regulatory Impact Analysis Document Versions' section contains a table with the following data:

Document	Version	Date Uploaded	Uploaded By
test1.doc	1.0	07/13/2015	Julio Baez

Below the table is a 'Choose File' button and the text 'No file chosen'. A red button labeled 'UPLOAD NEW RIA VERSION' is located below the table.

The 'Supplementary Documents' section contains a table with the following data:

Title	Document	Date Uploaded	Uploaded By	Document Type
Test	test2.doc	07/13/2015	Julio Baez	Public

Below the table are two buttons: 'UPLOAD SUPPLEMENTARY' and 'ADD NON-ELECTRONIC'.

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Figure 13.2: Manage Document Screen with ‘Upload New Version’ Button

The upload of the new version of the primary document will be done exactly as was done for the primary document before. Browse the desktop to locate the file, open it, and then hit the ‘upload’ button. Follow the same steps to upload a new version of the Regulatory Impact Analysis document, as required.

The new version will NOT overwrite the existing document, as occurred when the package was in a ‘create’ state. Instead, a new version of the document will be added to the submission.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS.GOV UAI interface. The top navigation bar includes links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a sub-navigation bar with INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Manage Documents 0906-AA44'. It displays three tables: 'Primary Document Versions', 'Regulatory Impact Analysis Document Versions', and 'Supplementary Documents'. The 'Primary Document Versions' table has two rows: 'test3.doc' (Version 2.0) and 'test1.doc' (Version 1.0). A red circle highlights the 'test3.doc' row. Below the table is a 'Choose File' button and an 'UPLOAD NEW VERSION' button. The 'Regulatory Impact Analysis Document Versions' table has one row: 'test1.doc' (Version 1.0). Below it is a 'Choose File' button and an 'UPLOAD NEW RIA VERSION' button. The 'Supplementary Documents' table has one row: 'Test' (Document: test2.doc, Date Uploaded: 07/13/2015, Uploaded By: Julio Baez, Document Type: Public). Below it are 'UPLOAD SUPPLEMENTARY' and 'ADD NON-ELECTRONIC' buttons. The footer contains the text 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Document	Version	Date Uploaded	Uploaded By
test3.doc	2.0	07/13/2015	Julio Baez
test1.doc	1.0	07/13/2015	Julio Baez

Document	Version	Date Uploaded	Uploaded By
test1.doc	1.0	07/13/2015	Julio Baez

Title	Document	Date Uploaded	Uploaded By	Document Type
Test	test2.doc	07/13/2015	Julio Baez	Public

Figure 13.3: Manage Document Screen with Two Versions of Primary Document

Once the new version has been uploaded, return to the EO Package screen, and scroll to the bottom. There is now a new button displayed 'Submit Amendment'. Click it to submit the amendment. ROCIS will indicate to the OIRA desk officer that the package has been amended.

ROCIS How-To Guide for Agency Users of the EO Reg Review Facility Regulatory Information Service Center (RISC)

Agency Tracking Number	EO Stage Of Rulemaking	
	Final Rule Stage	
OIRA Designation	Designation Request	
	SIGNIFICANT	
Is this action related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]? No		
Is this action related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]? No		
Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)? Uncollected		
International Impacts? No		
Primary Documents	Date Uploaded	Uploaded By
Sea Turtle Skimmer Trawl D648-SG45.doc	06/28/2017	Peter Robbins
Regulatory Impact Analysis Documents	Date Uploaded	Uploaded By
No associated records found		
Paperwork Reduction Act		
* Does the rule contain ICRs? <input type="radio"/> Yes <input checked="" type="radio"/> No		
New OMB Control Number Will Be Requested: <input type="checkbox"/>		
Existing OMB Numbers	<input type="button" value="ADD"/>	
* Denotes Required Field		
<input type="button" value="SAVE"/> <input type="button" value="SUBMIT AMENDMENT"/> <input type="button" value="CANCEL"/>		

Figure 13.4: EO Package Screen with ‘Submit Amendment’ Button

The OIRA desk officer will subsequently close the package, and it will again show a status of ‘Received’ in the received list. Once the status is changed, the modifications made to the OIRA record will no longer be viewable by the agency. When an agency user views the submission, the user will be looking at the original version of the submission, not the modified copy ‘belonging’ to OIRA. That will be true until the review is concluded by OIRA. Once the review is concluded, the OIRA version of the record will become the displayed version of the review.

14. The Concluded Review

When OIRA concludes review of the EO REG Review submission, ROCIS will display the submission in the agency's Concluded Inbox for 30 days.

OIRA can conclude the review with any of a number of actions. These include:

- Reviewed without Change—the EO Package was reviewed by OIRA, and no substantive changes were necessary
- Reviewed with Change—the EO Package was reviewed by OIRA and changes were made by the agency to the submission
- Improperly Submitted—OIRA determined that the EO package was not appropriate for OIRA review
- Withdrawn—the submitting Agency asked that the EO package be withdrawn from consideration

The appropriate data on the concluded review will be displayed on the ROCIS public website www.reginfo.gov the day after the review is concluded.

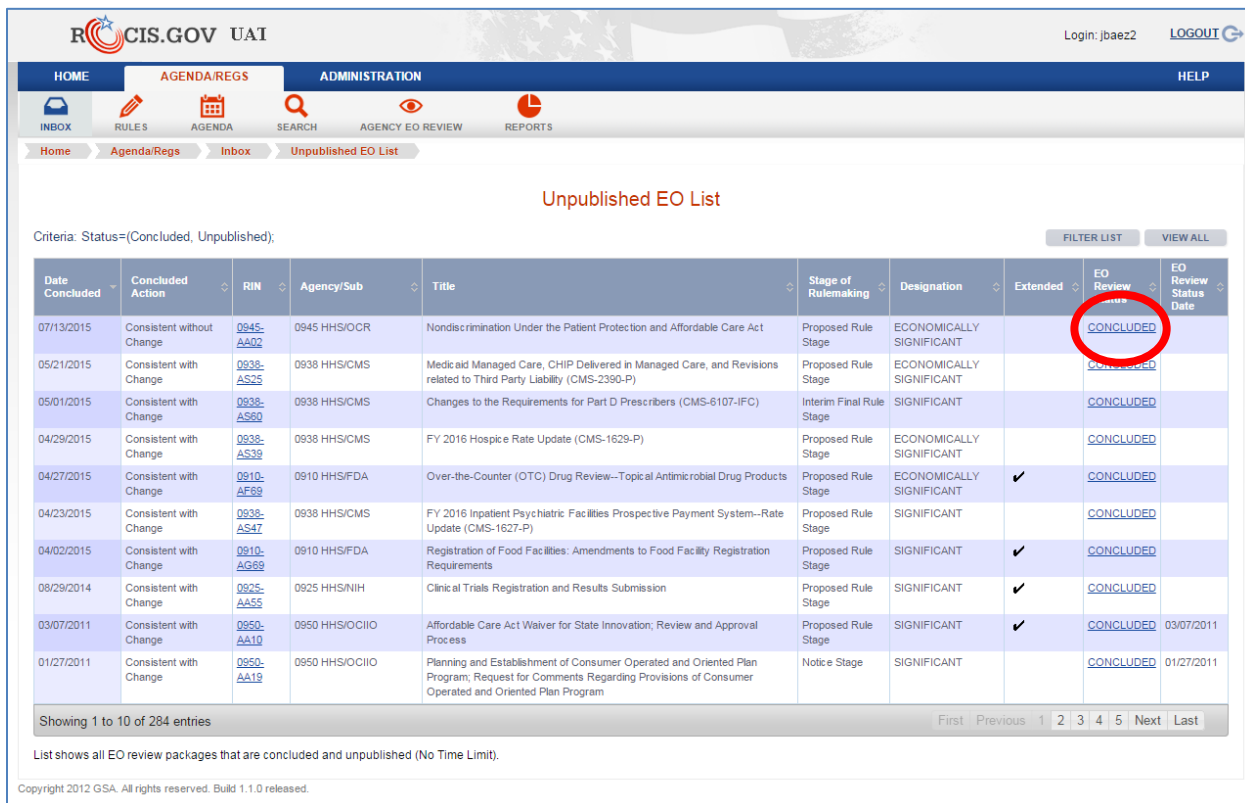
The screenshot shows the ROCIS public website interface. At the top, there is a header with the ROCIS.GOV logo and 'UAT' text. Below this is a navigation bar with links for HOME, ADMINISTRATION, and HELP. A secondary navigation bar contains icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. Below these are tabs for Home, AgendaRegs, Inbox, and Concluded EO List. The main content area is titled 'Concluded EO List' and shows a table of concluded reviews. The table has columns for Date Concluded, Concluded Action, RIN, Agency/Sub, Title, Stage of Rulemaking, Designation, Extended, EO Review Status, and EO Review Status Date. A single entry is shown for 08/12/2013, with a status of 'Consistent without Change' and a RIN of 0905-AH97. The table is filtered by 'Criteria: Status=(Concluded, Published)'. At the bottom, there is a footer with copyright information: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Status Date
08/12/2013	Consistent without Change	0905-AH97	0905 HHS/PHS	World Trade Center Health Program; Addition of Prostate Cancer to the List of WTC-Related Health	Prerule Stage	NOT SIGNIFICANT		CONCLUDED	

Figure 14.1: List of Concluded Reviews

15. Entering the FR Publication Date for an Approved Review

Once OIRA approves the review, your Agency can publish the associated rulemaking document(s) in the Federal Register. Users with EORC and/or RRP access can view approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda in the ‘Unpublished’ list. Select the desired EO package by clicking on the ‘Concluded’ link in the ‘Unpublished’ list.



Criteria: Status=(Concluded, Unpublished);

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Status Date
07/13/2015	Consistent without Change	0945-AA02	0945 HHS/OCR	Nondiscrimination Under the Patient Protection and Affordable Care Act	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/21/2015	Consistent with Change	0938-AS25	0938 HHS/CMS	Medicaid Managed Care, CHIP Delivered in Managed Care, and Revisions related to Third Party Liability (CMS-2390-P)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/01/2015	Consistent with Change	0938-AS60	0938 HHS/CMS	Changes to the Requirements for Part D Prescribers (CMS-6107-IFC)	Interim Final Rule Stage	SIGNIFICANT		CONCLUDED	
04/29/2015	Consistent with Change	0938-AS39	0938 HHS/CMS	FY 2016 Hospice Rate Update (CMS-1629-P)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
04/27/2015	Consistent with Change	0910-AF69	0910 HHS/FDA	Over-the-Counter (OTC) Drug Review--Topical Antimicrobial Drug Products	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT	✓	CONCLUDED	
04/23/2015	Consistent with Change	0938-AS47	0938 HHS/CMS	FY 2016 Inpatient Psychiatric Facilities Prospective Payment System--Rate Update (CMS-1627-P)	Proposed Rule Stage	SIGNIFICANT		CONCLUDED	
04/02/2015	Consistent with Change	0910-AG69	0910 HHS/FDA	Registration of Food Facilities: Amendments to Food Facility Registration Requirements	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	
08/29/2014	Consistent with Change	0925-AA55	0925 HHS/NIH	Clinical Trials Registration and Results Submission	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	
03/07/2011	Consistent with Change	0950-AA19	0950 HHS/OCCIIO	Affordable Care Act Waiver for State Innovation; Review and Approval Process	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	03/07/2011
01/27/2011	Consistent with Change	0950-AA19	0950 HHS/OCCIIO	Planning and Establishment of Consumer Operated and Oriented Plan Program; Request for Comments Regarding Provisions of Consumer Operated and Oriented Plan Program	Notice Stage	SIGNIFICANT		CONCLUDED	01/27/2011

Showing 1 to 10 of 284 entries

First Previous 1 2 3 4 5 Next Last

List shows all EO review packages that are concluded and unpublished (No Time Limit).

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Figure 15.1: Unpublished EO List

Once the EO package has been opened, select the ‘Publish EO’ option from the Agency EO Review menu.

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The screenshot shows the ROCIS.GOV UI with the 'AGENDA/REGS' tab selected. The 'Agency EO Review' menu is open, and the 'Publish EO' option is highlighted with a red circle. The main content area displays details for 'EO Review Package 0945-AA02', including RIN: 0945-AA02 (201510), Proposed Rule Stage, and Title: Nondiscrimination Under the Patient Protection and Affordable Care Act. Other fields include Agency/Sub Agency: 0945 HHS/OCR, Submitted By: Agnes Thomas, OMB Ref #: 0945-A006, and Submitted Date: 04/29/2015. The 'Unfunded Mandates' section shows 'Undetermined' for Major, Priority, and Legal Authority. The 'CFR Citation' is '42 U.S.C. 18116' and the 'Legal Deadline' is 'Not Yet Determined'.

Figure 15.2: ‘Publish EO’ Option in Agency EO Review Menu

On the next screen, enter the FR publication date and click the ‘Save Publication Date’ button.

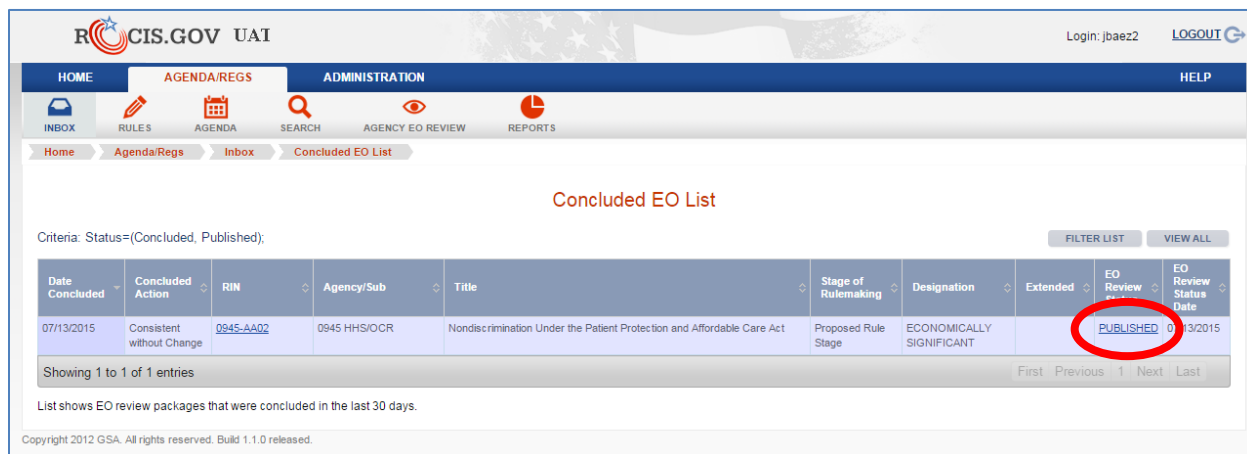
The screenshot shows the 'EO Review Package 0945-AA02' details page. The 'Abstract' section contains a paragraph about the proposed rule. The 'Reviewers' section lists 'OIRA Reviewer: Bridget Dooling' and 'Economist: Elizabeth Ashley'. The 'Primary Document' is 'Final 1557 NPRM to OMB 4.27.15.docx'. The 'Regulatory Impact Analysis Document' is 'None'. The 'Reg Plan' is 'No'. The 'Agency Submitted EO Package' is 'Yes'. The 'Date Published' field is highlighted with a red circle and contains the date '07/13/2015'. The 'SAVE PUBLICATION DATE' button is also highlighted with a red circle. The 'Sign-Off History' table shows a single entry for 'Julio Baez' on '07/13/2015' with the action 'Concluded'.

Name	Action Date	Action	Notes (Conclusion Data)
Julio Baez	07/13/2015	Concluded	

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Figure 15.3: Date Published field and Save Publication Date button

After the FR publication date has been saved, the EO package appears in the Concluded Request List with a status of ‘Published’.



The screenshot displays the ROCIS.GOV UI for Agency Users. The top navigation bar includes links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Concluded EO List' and shows a table of EO review packages. The table has columns for Date Concluded, Concluded Action, RIN, Agency/Sub, Title, Stage of Rulemaking, Designation, Extended, EO Review Status, and EO Review Date. The first entry in the table is for a package with RIN 0945-AA02, titled 'Nondiscrimination Under the Patient Protection and Affordable Care Act', with a status of 'PUBLISHED' circled in red. The table also includes a 'Showing 1 to 1 of 1 entries' message and a 'List shows EO review packages that were concluded in the last 30 days' note.

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Date
07/13/2015	Consistent without Change	0945-AA02	0945 HHS/OCR	Nondiscrimination Under the Patient Protection and Affordable Care Act	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		PUBLISHED	07/13/2015

Figure 15.4: Concluded EO List with Published EO Package

Appendix A: EO Reg Review User Roles

There are five agency roles within ROCIS that have privileges associated with the EO Reg Review process within ROCIS:

Regulatory Review Processor (RRP) – This individual can create and update any type of EO REG Review-related request. This user can also update the FR publication date for approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda. To obtain a ROCIS account, he must go through his agency's Regs Privileges Point of Contact (see role description below) and sign a security agreement. He must also attend the EO Regulatory Review course offered by RISC.

Executive Order Regulatory Contact (EORC) – This individual can do everything that a RRP can do. He can also submit a request to OIRA for review of an EO REG Review on behalf of the agency. To obtain a ROCIS account, the EORC must go through the agency's Regs Privileges Point of Contact (see role description below) and sign a security agreement. He is also required to attend the EO Regulatory Review course offered by RISC. **Each agency must have at least one of these.**

Regs Privileges Point of Contact (RPPOC) – This person is the primary point of contact for an agency with regard to new accounts. If someone from an agency wants an account with access to the EO Reg Review module, the request must be made through the Regs Privileges Point of Contact. The RPPOC will inform the ROCIS technical team of whether the new user will be an RRP or an EORC and, if applicable, the sub agencies within the agency to which the user should have access (this applies mostly to Cabinet agencies and EPA). This role actually has no ROCIS privileges associated with it; however, most individuals in this role have an additional user role. **Each agency must have at least one of these.**

Authorized Regulatory Contact (ARC) – An individual with this role can update EO Reg review packages. This user can also update the FR publication date for approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda. This role also gives the user access to the agenda module of ROCIS.

Regulatory Data Entry Contact (RDEC) – This role allows a user to create and edit an EO Reg Review package. Additionally, it gives the user access to the agenda module of ROCIS.